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ABSTRACT

The many forms of performance appraisal for faculty in Great Britain are examined. Advice and suggestions about appropriate training are offered, and conclusions are drawn about the kind of system that is most beneficial to the education service and to people employed in higher and further education institutions. Five chapters focus on: developments in performance appraisal policy (definitions, relevance to further and higher education, interest in performance appraisal, possible obstacles to the practice of performance appraisal, advantages of staff appraisal, and aims of government policy); introduction of appraisal (why staff appraisal is fashionable, why interest is not practice); employment law and other legal parameters (appraisal and the law, Sex Discrimination Act 1975 and Race Relations Act 1976, Data Protection Act 1984, employment protection legislation, redundancy selection, instruments and articles of government, the Burnham provisions); scheme design (objectives and standards, other needs, methods of appraising performance, techniques, starting points, involvement of senior management, and a system for further and higher education establishments); and appraisal training (preliminary steps, explaining performance appraisal, preparation for appraisal, classroom observation, appraisal interview, setting objectives, counseling, feedback, and the program). In the concluding chapter recommendations are given for performance and review development, response to union opposition, and pilot schemes. Appended are reprints of relevant legislation, a staff review scheme, two appraisal forms, an observer handout, an interviewing checklist, and a guide sheet for course members. 40 references. (SM)

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MANAGEMENT IN COLLEGES SERIES

# STAFF APPRAISAL

## IN FURTHER AND HIGHER EDUCATION

A STUDY IN PERFORMANCE REVIEW AND DEVELOPMENT

By Keith Scribbins and Frank Walton

HE 021 422

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## A Study in Performance Review and Development

By Keith Scribbins and Frank Walton

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## ABOUT THE AUTHORS

**Keith Scribbins** was educated at Goldsmiths' College, where he read sociology, and at Sussex University and the London School of Economics where he studied philosophy. After teaching in further education in London and Worcester he became a full time official for NATFHE working as a regional official, salaries officer, and finally, as an assistant secretary responsible for salaries and employment law. His consultancy work has taken him to the South Pacific and Africa. He has run short courses on various aspects of personnel management, industrial relations and marketing in many UK colleges, polytechnics and universities. Mr Scribbins has published on employment law, the position of women and education, the statutes and regulations affecting further and higher education and, most recently, on **Marketing further and higher education** (with Peter Davies, Longman 1985). He is a member of the Industrial Tribunals for England and Wales. He joined the Further Education Staff College as a staff tutor in 1984 and in 1986 became its first Director of External Services.

**Frank Walton** was Deputy Secretary to the Local Authorities Conditions of Service Advisory Board until his retirement in 1979. Immediately prior to going to the Advisory Board in 1971 he was a senior civil servant at the Home Office, although the main part of his career was in the Customs and Excise. Mr Walton's work for the Advisory Board included extensive negotiating responsibilities on behalf of various employers' sides of national councils dealing with the pay and conditions of sevice of local government employees. Notable among these were the Burnham Committees for teachers and the National Joint Council for Local Authorities Manual Workers. He is regarded as 'a leading authority on employment law' (Guardian, January 1982) specialising in the practical implications of the employment protection law for management at all levels. His publications include **Encyclopedia of employment law and practice** (Professional Publishing). He is a regular contributor to many journals including **Works Management** and **Municipal Journal**.

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We are grateful to all those who have helped us but the final product is our responsibility and its errors our own.

# PREFACE

For their continued success in terms of educational provision, well managed establishments of further and higher education must be effective at gathering information, marketing their services, monitoring the quality of their services, and bringing the best out of the people who work within them. Excellence in these areas guarantees that colleges have firstly, the knowledge on which to base their strategies and allocate their resources; secondly, the ability to identify and meet the demands of clients; thirdly, a range of techniques for evaluating the success of what they do; and, fourthly, policies, mechanisms and skills for reviewing and enhancing the motivation and performance of their staff.

This book deals with the fourth of those areas: staff appraisal. Further and higher education institutions are labour intensive and expend most of their budgets on personnel. The efficiency and job satisfaction of their staff are crucial to the effectiveness of the colleges, yet neither can be evaluated without systematic approaches for reviewing and developing the performance of those who work in the institutions — the most valuable resource in FHE.

Keith Scribbins and Frank Walton offer advice in the following chapters on this aspect of personnel management. It is a topic currently receiving much attention and growing in importance as pressures to provide even greater value for money through the most effective use of staff resources increase both from within the service and outside it.

Parts of this book were used in papers for a DES-sponsored seminar organised by the staff college for an invited audience at the Dragonara Hotel, Bristol, in 1986, and the reasoning and conclusions offered herein have benefited from the discussions at that event. Thanks are due to the Department of Education and Science for financial assistance with the seminar and to the participants for their lively and informed contributions.

Geoffrey Melling
Director
Further Education Staff College

# INTRODUCTION

This book examines performance appraisal in its various forms. We offer advice, recommend appropriate training and draw conclusions about the type of system which could be of the most benefit to the education service and to those employed in its further and higher institutions. While the analysis of performance appraisal and its implications is focused on teaching staff at all levels in further and higher education colleges, the examples and authorities cited, and the conclusions and recommendations summarised in Chapter 6, can apply with little or no modification to primary and secondary schools. There is, however, one significant difference: in further and higher education we would expect performance appraisal systems to be college-based, but in schools — with the possible exception of large comprehensive schools — a system common throughout the local education authority would probably be more appropriate.

Throughout the book we make frequent reference to performance appraisal. In doing so, we are **not** suggesting the adoption of some rigid system of rating the characteristics of individual teachers according to, for example, some six-point scale running from 'excellent' to 'appalling', whether disguised as 'A' to 'F' or by points. We share Douglas McGregor's apprehension about that sort of approach, suitable as it may seem for the assessment of performance in jobs where accurate and quantifiable measurement is considered feasible. As long ago as 1957 he wrote:

> The conventional approach, unless handled with consummate skill and delicacy, constitutes something dangerously close to a violation of the integrity of the personality. Managers are uncomfortable when they are put in the position of 'playing God'. The respect we hold for the inherent value of the individual leaves us distressed when we must take responsibility for judging the personal worth of a fellow man. Yet the conventional approach to performance appraisal forces us not only to make such judgements and to see them acted upon but also to communicate them to those we have judged. Small wonder we resist![1]

Why, then, do we even use the term performance appraisal? The answer is two-fold: firstly, whatever the system under which the performance of a member of staff is discussed with him/her, a degree of appraisal by his/her superior (whom for convenience we call 'the appraiser') is involved; and secondly, Section 49 of the Education Act 1986 empowers the Secretary of State to make regulations 'requiring local education authorities and others to secure the regular appraisal of teachers in schools and further education establishments'. Faced with that, we have not shirked from using the term performance appraisal, although concluding that in reality systems for teachers should be more akin to performance review and development.

1. McGregor Douglas An uneasy look at performance appraisal **Harvard Business Review** May-June 1957 (reprinted in **HBR**, Vol 50, No 5, September-October 1972).

This book is intended to point to practical and acceptable ways in which local education authorities, college management, staff and their representatives can agree to the voluntary introduction and maintenance of systems of advantage to all. An imposed requirement by the Secretary of State would be more likely to lead to the conventional approach which McGregor condemned nearly 30 years ago and would mean a lost opportunity for the service to adopt its own and — we would hope — more relevant policy.

Our theme, for all who work in education, to paraphrase McGregor, is:

If we can learn how to realise the potential for collaboration inherent in the human resources in the education service, we will provide a model which our society sorely needs.

In its way, we hope that this book is a contribution to that objective.

Keith Scribbins
Frank Walton

# Developments in Performance Appraisal Policy

## 1.1 DEFINITIONS

Various definitions of performance appraisal are to be found in the literature on the subject. Broadly speaking, these can be summarised as the structured assessment of an employee's performance of the work which he or she undertakes. That work may be different from the employee's contractual duties and obligations.

The following definition adopts this basic concept and relates it to the practical application of performance appraisal:

> An opportunity to review and discuss with each individual his/her past performance and, based on the conclusions reached, agree a plan of action and/or priorities for the forthcoming period. (Edwards, 1984)

For some commentators the review is only part of an appraisal process if its outcomes are among predetermined options such as promotion, promotability, incremental addition and training; or negative sanctions such as withholding increments, disciplinary measures or, ultimately, dismissal. Other commentators insist that the review is only part of the process of staff appraisal if the only possible outcome is staff development.

We shall see that the literature on appraisal and examples of appraisal arrangements reflect this dichotomy about its possible objectives and outcomes.

## 1.2 RELEVANCE TO FURTHER AND HIGHER EDUCATION

In comparison with other parts of the public service and educational institutions in most of Europe, Canada and America, the education service in Britain has been relatively protected from the view that it is a duty of those who manage, administer or lead the system to arrange for the appraisal of the performance of its workforce. This is not to say that certain surrogates for appraisal have not developed in education in Britain. From the days of payment by results we have given an emphasis to examination results as a measure of the quality of teachers' performance. In addition, we all know of the crisis management which ejects from the system those whose performance is routinely and spectacularly

abysmal. Nevertheless, dismissals for incompetence remain a rare event: the ejection may be by some other process than dismissal, and our culture still reveres, especially in the academic world, the eccentric professor who makes a 'valuable contribution' but who cannot teach. To complete this circle, perceptions now abound which recognise:

(a) that students learn in ways which are unrelated to teaching quality;

(b) that education staff manage learning situations and do other things as well as teach.

The message confirmed by (a) is that sole reliance on examination results as teaching performance indicators is misguided. The implication of (b) is that, in the absence of precise job descriptions, a performance appraisal system should be designed to encompass as much as possible of the work performed by teachers at various levels in particular departments of particular colleges. As a matter of policy, guidelines for the introduction of suitable systems should not be confined to recommending the assessment of limited aspects of the teacher's job (e.g. classroom performance), but should aim for the inclusion of identifiable features of the job and the teacher's performance of them.

## 1.3 INTEREST IN PERFORMANCE APPRAISAL

Recent years have seen the development of a widely held belief that, in the interests of educational provision in Britain, teachers' performance of their duties should be assessed and encouragement offered to improve where the need to do so becomes apparent. Misgivings have been expressed about this. People are concerned about the uses to which the results of appraisal may be put. Would appraisal be just a device for shedding less satisfactory teachers from the service? How much, if any, of a contribution could it make to their career development, particularly at a time when promotion opportunities are limited? What lies behind the emerging interest in some form of formal performance appraisal for teachers?

There are various factors at work in the development of this interest, among them the pressure on management to be cost effective, to evaluate their institutions' or authorities' performance, and to provide a service which is market-led. In Chapter 2 we review these and other factors as stimuli of the current interest in appraisal.

## 1.4 POSSIBLE OBSTACLES TO THE PRACTICE OF PERFORMANCE APPRAISAL

Just as there are a number of stimuli of the current interest in appraisal, so too are there a number of bars or obstacles to its development. Among these features of

the further and higher education system we can cite the assumed possible connection between appraisal and termination of employment, the absence of meaningful probationary arrangements, systematic selection procedures, induction programmes and, until recently, nationally agreed disciplinary procedures and incompetency procedures.[2] Again, we review these and other possible obstacles to the introduction of appraisal in Chapter 2 and set out some possible solutions to these problems in Chapter 4.

It would be unrealistic to try to isolate performance appraisal from all the perceived impediments, although a workable system containing assurances to allay some of those fears could be devised. However, in one particular respect — staff and career development — performance appraisal could be complementary without at the same time being regarded as a substitute for it. In other words, staff and career development should not be wholly dependent on performance appraisal, nor should performance appraisal be seen as aimed solely at staff and career development. To attempt to do the latter might be to fall into the trap of persuading staff to participate in performance appraisal in the expectation that promotion would result, only to find that the system falls into disrepute as the anticipated advancement does not take place.

The most substantial of the barriers to acceptability may be the professional or quasi-professional character of teachers as employees. Do teachers believe that their professionalism is based on tenets which conflict with management's need to appraise their performance?

## 1.5 ADVANTAGES OF STAFF APPRAISAL

For a policy aimed at the adoption of sound and constructive performance appraisal systems for FHE teachers to achieve success, teachers will need to accept that performance appraisal is of potential benefit to them as well as to those responsible for organising and managing the institutions in which they work. Guidelines for designing and successfully implementing such systems can be drafted and supported by a programme explaining their purpose. Recommendations for the design of systems and the promotion of them as acceptable and — hopefully — welcome additions to joint participation in the management and organisation of work at all levels in colleges can be directed to positive features such as:

- the opportunity to discuss problems at appraisal interviews;
- greater clarity about the role of management;
- better knowledge about the people being appraised;

2. Curtis, R. (Further Education Staff College Information Bank Papers 1701, 1702) classifies bad induction programmes as one of the causes of marginal performance.

- expectation of support, particularly when facing difficulties;
- a realisation that one's efforts are being noticed and, where appropriate, appreciated;
- a chance to discuss and set objectives for the future;
- a greater sense of departmental and organisational unity coupled with improved understanding of priorities and of the system itself;
- improved communication.

Training in appraisal interviewing is necessary if appraisees are to have confidence in the system and in the appraiser.

## 1.6 AIMS OF GOVERNMENT POLICY

Promoting interest in performance appraisal and leaving colleges to decide when, how and if they will systemise it is unlikely to be enough on its own. The government believes that action is needed to introduce performance appraisal systems into schools and FHE establishments. Speaking at the 1985 Association of County Councils' conference in the Isle of Wight, Sir Keith Joseph, the former Secretary of State for Education and Science, said (Local Government Review 1985):

> The holder of my office should have power by Regulations to require LEAs to make arrangements for the regular appraisal of teachers for which they are responsible. Such regular and formal appraisal is necessary if LEAs are to have the reliable, comprehensive and up-to-date information necessary for the systematic and effective provision of professional support and development and the deployment of staff to best advantage.
>
> I emphasise that this will be an enabling power. It is open to LEAs now to introduce arrangements for appraisal by agreement with the teachers' associations, and there may therefore be no need for regulations. On the other hand, I believe it may prove desirable or even necessary to provide a national framework for appraisal by means of regulations. That is why we propose to undertake the necessary enabling legislation.
>
> We have no national blueprint to impose. The government position is that teacher appraisal should largely be conducted at the level of the individual school by the teachers themselves. It would be done in accordance with general arrangements introduced and monitored by LEAs in accordance with national guidelines worked out in consultation between teachers, employers and the Department . . . Circumstances will determine whether the enabling power is used.

The enabling power to which Sir Keith referred has since appeared as section 49

of the 1986 Education (No 2) Act. It provides, *inter alia*, for regulations to be made requiring local education authorities and others to secure the regular appraisal of the performance of teachers in schools and further education establishments. Regulations can specify requirements to be observed in carrying out performance appraisal. This means that the Secretary of State, if so minded, can prescribe performance appraisal systems to be applied by all local education authorities, although it seems unlikely that highly detailed schemes would be imposed.

Further significant powers in section 49 of the Act enable the regulations to:

(a) require governing bodies to comply with the regulations and reasonably to assist their local education authorities to meet their obligations under them;

(b) ensure that the results of appraisals are made known to the teachers who are the subject of them;

(c) provide for teachers to appeal against the results of their appraisals;

(d) require local education authorities to have regard to the results of appraisals when, for example, selecting teachers for appointment, promotion, etc.

The full text of section 49 is reproduced as Appendix A.

Sir Keith followed up his statement of policy a few months later:

> Closely associated with in-service training, and with the career development of teachers, is the need for LEAs regularly to appraise the performance of their teachers. A sensitively worked out scheme, carefully introduced and embodying adequate safeguards for the individual, would, I am confident, help all teachers realise their full professional potential by providing them with better job satisfaction, more appropriate in-service training and better planned career development.
>
> I repeat that I envisage a sensitively worked out scheme, carefully introduced, and embodying safeguards for the individual. I understand the concern that has been expressed to me about the possibility that annual appraisal procedures might be directly linked to merit pay or annual increments, or be used in other ways by headteachers to give instant rewards or penalties. That is quite definitely not the sort of arrangement I have in mind — nor do I know of any local authority that would wish to use an appraisal scheme in such a way.
>
> But I do believe that the findings from appraisal interviews would lead to better informed promotion decisions by schools and LEAs. (DES 1986)

The pressure for the introduction of some form of performance appraisal for teachers has produced some constructive reactions. For example, Fred Jarvis, General Secretary of the National Union of Teachers, comments:

> An adequate system of teacher appraisal is an important additional aim of the

ACAS investigation into salaries and conditions. However, my union would question its value as a means of driving out less able teachers when the profession is already heading for serious manpower shortages if current trends continue.

By using appraisal in a way which would set teacher against teacher we would miss a valuable opportunity to raise standards in the profession. Appraisal can and should be used as a means of improving the effectiveness of teachers by identifying where additional help is needed. (Daily Telegraph 1986)

Thus Sir Keith Joseph and Mr Jarvis both see a need for appraisal as a way to help teachers improve their standards of work.

NATFHE's policy on appraisal was formed at its tenth Annual Conference in May 1985, six months before Sir Keith Joseph's statement to the 'Better Schools' conference quoted above. A motion calling for the implementation of a system of appraisal by agreement with LEAs, on the basis of clear criteria using trained and experienced (including peer) appraisers, was substantially amended to delete these features in favour of the following statement of policy:

> Conference rejects the Secretary of State's ill-informed and ideologically inspired attacks on the professional competence of teachers by attempting to introduce a scheme of compulsory assessment of teacher performance linked to sanctions in the form of threats to promotion or job security. Such a system for weeding out so-called inefficient teachers makes teachers the scapegoat for chronic under-resourcing in the educational sector (and) will only further demoralise teaching staff and will have a divisive effect on our profession and a deleterious effect upon the quality of education.
>
> Conference opposes such assessment and instructs the NEC to oppose vigorously by:
>
> (a) refusing to co-operate in talks designed to set up such a system;
>
> (b) organising a campaign against such a system, including consideration of industrial action if necessary.
>
> Conference accepts that an agreed scheme of staff development should be an integral part of the professional experience of all staff. Such a scheme must include adequate resources to enhance in-service training opportunities, so improving the professional competence of all FE teachers. (NATFHE 1986a)

NATFHE's Executive Committee subsequently issued advice to its branches. The advice noted that, due to consideration of staff review procedures in the context of NAFE (non-advanced further education) development plans, there had been a sharp increase in branch requests for advice on staff development and appraisal. The conference resolution set out above was reiterated and three further points made. Firstly, branches were told not to get involved in local level discussions or negotiations about appraisal. Secondly, national negotiations via the National Joint Council for Further Education Teachers in England and Wales were being sought in order to ensure that the necessary resources became

available for staff development opportunities. Thirdly, the advice was not intended to disturb existing local arrangements (NATFHE 1986b).

For its part the Department of Education and Science sees the provision in the Education Act as a long-stop power which the Secretary of State hopes never to exercise. The Department's wish is for an appraisal system to happen spontaneously, provided that it has a framework of consistency so that documentation will be relevant when a lecturer moves from one local education authority to another. In seeking some degree of consistency between one performance system and another in further and higher education, the DES nevertheless appreciates that co-operation in introducing and sustaining workable schemes will only be achieved by persuasion, not compulsion. This points to schemes which will fit into the ethos of further and higher education establishments, rather than to some ready-made system prescribed centrally.

As a matter of policy the respective roles of central government, the local authority associations, local education authorities and the institutions can be expected to include the following elements:

- **The Department of Education and Science**: provision of financial support to meet start-up costs, particularly for the training of appraisers, and endorsement of broad general guidelines aimed at achieving some consistency between schemes; encouraging the adoption of suitable schemes by the voluntary colleges;
- **Local Authority Associations**: encouraging local education authorities to introduce performance appraisal supported by national guidelines agreed if possible with the unions and based on good practice;
- **Local Education Authorities**: although probably choosing a specific and well defined system for their schools, they should give college governors the responsibility for implementing systems in the individual colleges, and the encouragement to do so, subject to instruments and articles of government;
- **Colleges**: adoption of suitable performance appraisal systems, having regard to the relevant resolutions of the local education authority, articles of government, any collective agreements, suggestions and guidelines, emanating from the above sources.

## 1.7 SUMMARY

If performance appraisal is a process of review and discussion of past performance leading to an agreed plan of action for the future, its outcomes can be positive rewards, negative sanctions or, in the eyes of some, solely staff development. This ambiguity gives rise to much controversy about introducing

appraisal in education. There are a number of reasons for the contemporary interest in appraisal and a number of obstacles to its development, but some schemes of appraisal could undoubtedly bring many advantages to the FHE system. These include the opportunity to discuss problems, the development of support and the realisation by individuals that their work is valued.

The development of government policy and legislation aimed at stimulating appraisal has caused reaction and counter-reaction, mainly on the outcomes or possible misuses of appraisal. However, the momentum for soundly based performance appraisal in further and higher education institutions is a reality, and matters such as the respective roles of the DES, the local authorities and institutions have to be defined.

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# Introducing Appraisal: The Interest and the Caution

## 2.1 WHY IS STAFF APPRAISAL FASHIONABLE?

Policy developments do not take place in a vacuum. Those described in Chapter 1 have arisen in a context of trends, developments and practices in other areas of further and higher education. These surrounding features of the system have stimulated the interest in staff appraisal of further education teachers yet may also have tended to inhibit its wider adoption. Given that further and higher education is a very labour intensive service and that appraisal as a managerial tool is more, rather than less, likely where labour costs are relatively high, perhaps the most pertinent question is 'Why hasn't the system naturally developed appraisal as one of its personnel management and resource evaluation techniques?'

A good deal can be learnt from examining the factors which have stimulated the interest and those which have inhibited the development of staff appraisal systems.

There are many factors which account for the contemporary growth of interest in appraisal. We comment on some of them below.

Firstly, the pressure on institutions and local authorities to be cost effective is a close ally to the pressure to develop appraisal. It is not by chance that the Audit Commission has identified the absence of appraisal arrangements as part of managerial weakness in further and higher education. This analysis has validity whatever the presumed outcome of appraisal. If the outcome is staff development, it is clearly more effective to develop and to deploy more efficiently the staffing resources which account for the lion's share of recurring costs. If the outcome is pay advancement, then cost effectiveness is created by rewarding, and hence stimulating, high quality teacher performance. Interestingly, the Audit Commission itself operates a pay-related performance appraisal scheme.

Secondly, those who manage further and higher education are regularly commended to evaluate institutional performance. While it is as difficult to secure agreement on relevant techniques and performance indicators as it is to get agreement on the approach to and purposes of staff appraisal, the climate which emphasizes the one form of evaluation (institutional performance) is likely to commend the other (staff performance appraisal). The two issues are not unconnected. Indeed, many institutional managers must be left wondering how much of their managerial time will come to be devoted to evaluation of one sort or another.

It may be the case, as some advocates and schemes suggest, that there is a need to integrate the two (and, if one adds course evaluation, three) areas of performance. For example, many of the recent refinements in the GLOSCAT staff review scheme, described in Appendix B, emanate from attempts to integrate institutional performance evaluation, course evaluation and staff appraisal.

Thirdly, the contemporary thrust to manage institutions according to the principles of marketing changes considerably our notions of satisfactory staff performance and the appropriate role of staff. One of the central tenets of marketing is customer satisfaction and sovereignty. While our customers may be of various types, the fact that staff have to operate in a circumstance where the customer not only makes judgements but is invited to be judgmental, is bound to focus on staff performance to an unprecedented degree.[3]

Fourthly, new forms of learning organisation have yielded considerable doubts about job design and job descriptions for many teachers. Where job evaluation techniques have been used or studies made of what teachers do, a picture has emerged of the growing complexity of the job of teaching. Indeed, a recent study seems to have concluded that significant grade distinctions do not correlate with different job weights and ranges of duties.[4] Just as we shall later argue that appraisal requires some certainty about job descriptions and duties, so too uncertainty or ambiguity in these features of employment raise questions about the capacity of the workforce to adapt to change. One of the roots of interest in appraisal is, hence, the need to assess the capacity of teachers and their traditional skills to meet changes in learning technology and, of course, to meet turbulent curriculum developments.

Finally, the context of these and other changes is one in which the size of the workforce is static and, in some areas, declining. A natural question arises: which posts, and perhaps which people, are most dispensable? The squeeze on staffing resources inclines managers to want to select for redundancy on criteria related to competence. For a wide range of reasons this approach has not generally been available in public sector further and higher education but it is not unprecedented in the university sector.[5]

There are, no doubt, many more stimuli to the contemporary interest in staff appraisal. Some commentators have noted that these stimuli also exist in other areas of the public service in which a parallel interest in appraisal also exists. What is important, if this analysis has any merit, is that the interest in appraisal cannot wholly, and perhaps not chiefly, be attributed to the policy initiatives of the government or reactions to these initiatives. The interest in and importance

3. Two recent publications deal with the effects of adopting a marketing perspective in managing education. These are K Kotler and F A Fox **Strategic marketing for education institutions** Prentice Hall, 1985 and P Davies and K Scribbins **Marketing further and higher education** Longmans, 1985.
4. Unpublished proceedings of the Review Group, Burnham Further Education, LACSAB, 41, Belgrave Square, London WC1.
5. Appraisal was used to select staff for redundancy in recent cases at Chelsea College, University of London.

of appraisal need to be measured as part of other changes taking place in education. Appraisal correlates with the development of the belief that education needs to be managed at institutional and other levels in a way which demonstrates high dependency on the techniques of resource, personnel and marketing management.

## 2.2 INTEREST IS NOT PRACTICE

Many factors account for the interest in staff appraisal. Equally, many features of the system make its introduction, systematisation and practice controversial. Why has the interest in appraisal and the cost intensive nature of the labour force in further and higher education not yet produced much practice of appraisal (at least overtly), let alone many schemes? As we shall see, appraisal and appraisal schemes are an accepted part of the management and culture of many educational institutions abroad (particularly in North America) and in substantial parts of the private, public and semi-public sectors in Britain. What bars exist to its development in further and higher education in Britain? What hurdles might those keen to develop an appraisal scheme in a college or polytechnic face? We look below at some of these and the generally cautious attitude to staff appraisal.

Firstly, appraisal is often assumed to be connected with staff discipline. Indeed, the political expression of the need for appraisal has often related it to the need to regularise teachers' behaviour or misconduct, or discover and remove those who are incompetent. The very haziness about the distinction between appraisal and dealing with incapability, misconduct and incompetence acts as a bar to the development of appraisal. For as long as these distinctions remain unclear in both the minds and actions of those who manage the system, appraisal will be difficult to market to those who are to be appraised or those who have to do the appraising. This problem is not just about ambiguity of the outcomes of appraisal.

Until recently there have been no national and relatively few local disciplinary procedures in further and higher education. The absence of procedures for dealing with disciplinary matters, incompetence or incapacity may inhibit the development of an appraisal system. This is because without them there is no protection against the appraisal procedure becoming a covert disciplinary procedure. When that happens, none of the players can be sure of the rules of the game. The recent adoption of a national arrangement for dealing with disciplinary matters should substantially help in removing this bar to the acceptability of appraisal.[6]

6. Since its creation in 1980 the NJC for Teachers in Further Education in England and Wales has sought to produce a negotiated disciplinary procedure. In 1986 one was published by the NJC. (National Joint Council for Further Education Teachers in England and Wales. The Scheme of Conditions of Service for Further Education Teachers in England and Wales, LACSAB, 1981, revised 1986.)

It should be noted that while appraisal schemes do not preclude disciplinary action as an outcome, they do involve separate procedures for the appraisal process on the one hand and disciplinary or lack of capability processes on the other. Hence, one bar to appraisal is the absence of procedures for dealing with discipline, incompetence and incapacity, not the risk that appraisal may lead to judgements about competence and capability.

Secondly, a peculiar irony of the personnel management of further and higher education has been the existence of a national scheme for dismissing staff without any scheme for dealing with discipline.[7] For a number of reasons this has led to a dismissal procedure which is highly teacher protective. Performance problems which might otherwise have been dealt with via a disciplinary, incompetence or incapability procedure, have perhaps been ignored or unreasonably been made the subject of dismissal proceedings — which from the manager's point of view have proved most unsatisfactory.

Thirdly, the demand for appraisal can be seen as a demand to introduce an instrument of scientific personnel management into the management of further and higher education. That may be a valid desire, but it is not one which can be satisfied just by focusing on appraisal. There are a number of other devices for ensuring the quality of performance of the workforce which need to be used before appraisal comes into play. The first of these is a more scientific or systematic approach to staff recruitment. The second is a similarly structured approach to probation, and the third is the application of that approach to induction. We have little evidence of the quality of these procedures in further and higher education. What we do know is that the procedures vary enormously both within and between institutions. A recent study identifies the chronic need to apply more rigorous personnel management approaches in these areas (East 1986). Also, while the Scheme of Conditions of Service for Further Education Teachers in England and Wales envisages that probationary arrangements can be made, the procedures for probation themselves vary greatly. (NJC for FE Teachers in England and Wales, 1986) The same document provides that a dismissal from a probationary period shall involve the same procedure as other dismissals. The cause of appraisal would be greatly assisted by the development, in respect of staff recruitment, probation, and induction, of equally systematic approaches to that on which appraisal can be predicated. And the same may be said of other soundly based selection procedures, notably for promotion, although performance appraisal itself should be distinct from succession planning, while allowing for discussion of career and personal development.

Fourthly, if appraisal cannot be expected to compensate for unsystematic approaches to selection, probation and induction, neither can it compensate for the patchy nature of pre-entry or post-entry initial training. If appraisal has, as one of its elements, the assessment of classroom performance (see Sections 4.2 and 5.4), another inhibitor to its development is any common acceptable standard of performance which pre-entry training would ensure.

7. The dismissal arrangements are set out on pages 11-12 of The Scheme of Conditions of Service (*Ibid* pp11-12)

Fifthly, most schemes of appraisal acknowledge staff development as an outcome. Staff development, whatever its character, usually has resource implications. The absence of systematic approaches to staff development, the complexity of its funding base (some would say inadequacy) and, especially in higher education, the false identification of staff training and further academic study, do not provide a useful base on which to build a development related appraisal scheme. It is of course the case that policy in these areas is itself showing considerable progress in personnel management terms.[8] Two points are significant here. NATFHE's strategy for the acceptability of appraisal identified resourcing (and the opportunity to negotiate the resourcing) as critical. Further, at least one college staff appraisal scheme has been largely suspended because of the believed inability of the college to deliver all of the staff development needs diagnosed in the appraisals which took place.[9]

Sixthly, while the possible outcomes of appraisal remain ambiguous, the debate and practice concerning the employment tenure of teachers has developed considerably in recent years. On the one hand there is some evidence of a loosening of tenure, for example, in the increasing but still relatively rare use of fixed term full time contracts and in the increasing volume of work delivered by part time post holders; on the other hand, decisions in the Employment Appeal Tribunal, the Court of Appeal and the House of Lords, while not uniform, have tended to support the employment protection of these categories of teacher.[10] Equally, the debate about the tenure of university staff has shown that the notion of employment tenure of teachers is anything but simple or uncontroversial. Some would argue that dismissal or termination of employment should not in any way relate to appraisal. Perhaps few would take the view, as is the case in some employment contexts, that the conversion of new entrants from part time to full time, from temporary to permanent status, should depend on appraisal. For our purposes it is enough to remark that the opportunity to adopt this kind of appraisal approach is considerably hindered by the paradoxical casualisation of employment on the one hand and the acquisition of greater employment protection on the other.

Finally, the doubts about what the job of a teacher is in a time of change can act as a stimulus to appraisal. In another way it can also act as an inhibitor, which can perhaps be best described in the form of a question. Is a teacher a professional? The common sense answer is yes and if this is so, the appraisal of teachers' performance would take on a particular character. For one of the hallmarks of professionals is their membership of a society or guild which controls, or claims to control, the quality of performance of its members. It does this by developing

8. Circular 1/86, published by the Department of Education and Science in January 1986, cites 'managing people' as an area for the training of management staff in further education.
9. This was the case in the Worthing College of Technology appraisal experience. For a description of that scheme, see Worthing College of Technology, The Introduction of a Self Appraisal Scheme for Teachers, Worthing College of Technology, 1985.
10. Two notable cases concerning the right to appeal against unfair dismissal by part-time staff make this point. These are Ford v Warwickshire (1983) IRLR, 126 and Guy v Wiltshire (1980) IRLR.

entry and ejection mechanisms as well as codes and procedures for ensuring professional practice.

Applying these tests, the strict answer to the question is to describe teachers as quasi-professional. They do not have all the hallmarks of a profession, though they have some. Calls for the establishment of a professional council in teaching are really demands to make teachers fully professional. Where does that, or their present quasi-professional character, leave appraisal?

Clearly, for a classic professional, classic staff appraisal has a limited, perhaps negligible role, for the professional is appraised by his or her peers. Perhaps some of the evident resentment of appraisal among teachers, or at least their unions, derives from their quasi-professional status. Managing the work of professionals has its own interesting peculiarities (see, for example, the recent debates about how and by whom nurses and doctors should be managed).

If education management is about managing the work of professionals, or quasi-professionals, perhaps, at best, classical approaches in personnel management need some cultural adaptation to achieve relevance. It may be significant that attempts to apply scientific personnel management approaches in the form, for example, of job evaluation have thrown up a number of obstacles in the context of teacher employment. (Scribbins, 1986). We are not trying to suggest that teaching may not be an appraisable job (in the personnel management sense) and less still that teachers cannot be the subject of personnel management. We make only the point that staff appraisal of professionals or quasi-professionals is bound to have some features peculiar to it.

Perhaps these difficulties account for the oft repeated notion that only staff development related appraisal is achievable for teachers. Certainly, the reluctance of the systems managers to relate incremental progression and the passage through salary bars to satisfactory judgements about performance and efficiency — even where the salary regulations state that this shall be the basis of salary advancement — may have its roots in this ambiguity about the professional status of teachers' employment.[11]

It would be wrong to lose sight of another important feature of the employment context, notably the fact that teachers are professionals or quasi-professionals employed in the public sector. If George is to be believed, the view that only staff development related staff appraisal is feasible is a dictum applying in many parts of the public sector. He characterises appraisal in this context as relying on scarce carrots and no sticks (George 1986).

It has not been our intention in reviewing the stimuli and inhibitors to the development of staff appraisal in further and higher education to suggest that staff appraisal is not achievable with any or all of its conventional objectives. Nor are we saying that it should not be attempted, or that it is destined to fail. On the contrary, we are seeking to adumbrate the industrial relations and other contexts of the appraisal debate as a step towards defining the feasible and achievable.

In theory, appraisal can best exist when it is surrounded by its natural relatives:

11. These provisions are discussed in detail in Chapter 3.

pre-entry or post-entry initial training, rigorous and systematic selection procedures, developed probationary schemes and induction programmes, systematic disciplinary, incompetence and incapability procedures which are fairly regulated and available, and, last but not least, some certainty about staff development resourcing. Life is hardly ever like theories, and no sector of employment has waited to develop these relatives as prerequisites of appraisal. Their complexity and current inadequacy in further and higher education put an added burden on appraisal. As we shall see, in many employment contexts appraisal has been developed sometimes with all, and sometimes without some, of the relatives standing by.

## 2.3 SUMMARY

Government policy and reactions to it are a symptom and not the cause of interest in staff appraisal in education. This interest has its roots in a number of related contemporary pressures on colleges and those who manage their work. Some of these pressures, such as the pressure to be cost-effective, the pressure to be market-led, the turbulence of curriculum change and ambiguity about the real job of a teacher, contribute to the interest in appraisal.

Equally, some features of the further and higher education system inhibit the development of appraisal: they tend to prevent the interest from becoming practice. Such factors as the absence of well regulated procedures for disciplining teachers or for dealing with incompetence, the absence of rigorous pre-entry training requirements, and of recruitment, induction and probation procedures all militate against the development of appraisal procedures.

Perhaps the most difficult obstacle to overcome is the one created by the quasi-professional character of the teaching job itself. Professionals appraise themselves. Do teachers resent the idea of being appraised by managers? Does it make them less genuine professionals? For these and other reasons it may not be easy to introduce formal appraisal in education. However, recognising that the difficulty has been overcome in other employment contexts where introducing staff appraisal has been just as controversial, may help to turn the interest in appraisal into practice.

To do so it may be important to accept that formal rating assessment procedures for appraising the performance of quasi-professionals are unlikely to be appropriate for the reasons explored in Chapter 4. To try and identify common characteristics of performance and to purport to measure them for individual teachers by using points on a scale, or a combination of them, is unlikely to advance the cause of staff appraisal. A more responsive method is needed, so that feedback on performance, over-all working relationships and individual contributions feature largely in the operation of performance appraisal in further and higher education. This points towards an appraisal system allied more to performance review and development (PR&D) than to formalised ratings. In chapters 4 and 5 we develop the case for the PR&D approach.

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# Employment Law and Other Legal Parameters

## 3.1 APPRAISAL AND THE LAW

No legal obligation exists to introduce and maintain a performance appraisal system although, if the Secretary of State were to make an order under the powers provided in the Education (No. 2) Act 1986, that position would change for those groups subject to the order. Whether or not that happens, various enactments and statutory provisions have a bearing on the design and operation of appraisal systems, and these are summarised and discussed in this chapter. In particular, systems must be non-discriminatory on grounds of sex, race and marital status, must conform with the principles of the data protection legislation, must observe the requirements of the employment protection legislation and codes published under it, must follow Instruments and Articles of Government and embrace other statutory provisions such as those emanating from the agreements made by the Burnham Committee.

## 3.2 SEX DISCRIMINATION ACT 1975 AND RACE RELATIONS ACT 1976

The operation of an appraisal scheme must be free of factors which involve bias on grounds of sex, marital status or race. Under these Acts direct discrimination is unlawful if it involves discrimination against:

- a man or a woman if on the ground of that person's sex another person treats him/her less favourably than he/she treats or would treat a person of the opposite sex; or
- a married person of either sex if on the ground of his/her marital status another person treats him/her less favourably than he/she treats or would treat an unmarried person of the same sex; or
- a person if on racial grounds another person treats him/her less favourably than he/she treats or would treat other persons.

Indirect discrimination may occur in any of the following circumstances if a person:

- applies to a woman a requirement or condition which he/she applies, or would apply, equally to a man, but —
  (a) which is such that the proportion of women who can comply with it is considerably smaller than the proportion of men who can comply with it; and

  (b) which he/she cannot show to be justifiable irrespective of the sex of the person to whom it is applied; and

  (c) which is to her detriment because she cannot comply with it;

- applies to a married person of either sex a requirement or condition which he/she applies, or would apply, equally to an unmarried person, but —

  (a) which is such that the proportion of married persons who can comply with it is considerably smaller than the proportion of unmarried persons of the same sex who can comply with it; and

  (b) which he/she cannot show to be justifiable irrespective of the marital status of the person to whom it is applied; and

  (c) which is to that person's detriment because he/she cannot comply with it;

- applies to another person a requirement or condition which he/she applies, or would apply, equally to persons not of the same racial group as that other, but —

  (a) which is such that the proportion of persons of the same racial group as that other who can comply with it is considerably smaller than the proportion of persons not of that racial group who can comply with it; and

  (b) which he/she cannot show to be justifiable irrespective of the colour, race, nationality or ethnic or national origins of the person to whom it is applied; and

  (c) which is to the detriment of that other because he/she cannot comply with it.

The application of a discriminatory element in a performance appraisal system could give rise to an allegation by a person in employment that, bearing in mind the purpose of the appraisal and the consequences to which it could give rise, a detriment would result, contrary to Section 6(2) of the Sex Discrimination Act or Section 4(2) of the Race Relations Act.

## 3.3 DATA PROTECTION ACT 1984

If the results of performance appraisal are computerised, the subject of each appraisal will be entitled to access to the information. On the assumption that college authorities will record information in this way, it is clear that the subject of it must not be refused access to it. The Act establishes eight data protection principles. Personal data must:

- be obtained and processed fairly and lawfully;
- be held for specified purposes;
- not be used for any reason incompatible with the original purpose;
- be relevant and adequate;
- be accurate and up to date;
- not be kept longer than necessary;
- be made available to the individual (at reasonable intervals, without undue delay or expense) and be subject to corrections;
- be kept secure from unauthorised access or disclosure, loss and destruction.

Data is information recorded in a form which enables it to be processed by equipment operating automatically. Personal data is such information relating to a living individual who can be identified from it or from the data and from other information held by the data user. This includes an expression of opinion (e.g. not suitable to teach advanced level work) but not an expression of intention (e.g. do not timetable for advanced level work).

However, the access provisions of the Act (which are effective from 11 November 1987) do no more than underline an essential element in most performance appraisal systems, namely a free exchange of information between the appraiser and the employee about the appraisal and the records of it.[12]

## 3.4 EMPLOYMENT PROTECTION LEGISLATION

Section 57(2)(a) specifies, as a reason for dismissal which an employer must show if responding to a complaint or unfair dismissal, a reason which 'related to the capability . . . of the employee for performing work of the kind which he was employed by the employer to do'. Capability means capability assessed by reference to skill, aptitude, health or any other physical or mental quality. (Section 57(4)).

12. For a full discussion of the effects of the Act in further education see K Scribbins **Data protection and further education** Further Education Staff College Information Bank Paper 2188, 1986.

Section 57(3) provides that '. . . the determination of the question whether the dismissal was fair or unfair, having regard to the reason shown by the employer, shall depend on whether in the circumstances (including the size and administrative resources of the employer's undertaking) the employer acted reasonably or unreasonably in treating it as a sufficient reason for dismissing the employee: and that question shall be determined in accordance with equity and the substantial merits of the case'.

This requirement has been authoritatively interpreted as meaning that, to justify a dismissal for a reason related to the capability of an employee, the employer does not have to prove incompetence, but must show that he/she honestly and reasonably held the belief that the employee was not competent and that there was a reasonable ground for that belief (Taylor v Alidair Ltd, 1978).[13]

Satisfying these tests will justify capability as the reason for dismissal, but not necessarily the section 57(3) test of the employer's reasonableness in the circumstances. It was argued by the Inner London Education Authority that the Court of Appeal's tests mean that, once incompetence has been established as a justifiable reason for dismissal, that was 'virtually conclusive of the matter and that dismissal in such circumstances was fair', however the matter had been handled by the employer after he/she had come to that conclusion. The Court of Appeal rejected that submission, saying, 'No one is saying that the Authority were wrong in coming to the conclusion that Mr Lloyd was not competent to teach. We are concerned, however, with his dismissal and whether it was fair . . . The industrial tribunal were not bound . . . on the authority of (Taylor) to come to a conclusion favourable to the employer' (ILEA v Lloyd, 1981).

Therefore, how management handles an employee's apparent lack of capability will show its reasonableness, or lack of it. A suggested model (Walton 1986) for a procedure aimed at resolving such problems independently of any performance appraisal system which may exist in an organisation contains the following features.

(a) After assembling information about the employee's performance, the ways in which he/she is not satisfactorily carrying out the work he/she was engaged to do should be brought to his/her attention informally in as constructive a manner as possible.

(b) The employee should have the opportunity to express his/her reaction to the criticisms of his capability. (His/her use of the grievance procedure at this stage if he/she so wishes, should not of course be restricted.)

(c) The manager conducting the discussion should make a note immediately afterwards of the points put to the employee, any comments or explanation offered by the employee, and the time and date.

13. **Taylor v Alidair Ltd** (1978) IRLR 82 (Court of Appeal, Lord Justice Geoffrey Lane). In the same decision Lord Denning added, 'It is not necessary for the employer to prove that he (the employee) is in fact incapable or incompetent'.

(d) Where practicable, further training should be offered to the employee to enable him/her to improve performance.

(e) The supervision of an employee skilled in the work which the unsatisfactory employee has been engaged to do should be provided.

(f) Following the initial comments on the employee's unsatisfactory performance, subsequent performance should be monitored and assessed as objectively as possible and as frequently as appropriate, bearing in mind particularly the nature of the duties and the length of time which could be considered reasonable for the employee to improve his/her performance.

(g) If there is failure to improve, or continued unsatisfactory performance, he/she should be informed of the ways in which he/she is not measuring up and invited to a formal interview at which he/she will have an opportunity to put forward any explanation he/she wishes, either in person or through a representative.

(h) At the interview the employee should be reminded of the earlier informal discussion and of the steps taken to encourage improvement, and should be told as precisely as possible of the complaints about performance. If the employee's explanation is not accepted, a formal warning in writing should be given as soon after the interview as possible.

(i) Following the issue of the formal warning (d) to (f) above should continue to apply as appropriate.

(j) If the employee's improvement following the formal warning is insufficient to enable others to regard the employee as capable of doing the work he/she is employed to do, the manager should:

(i) consider whether alternative employment can be offered to the employee. (This does not necessarily have to be equivalent employment, particularly in the case of an unsatisfactory promoted employee, who could be offered a post at his/her previous level.)

(ii) If so, make the offer in writing, explaining why it is being made and the possible consequences of refusing it, and give the employee sufficient time to consider the offer and, if he/she so wishes, discuss it with the employee representative.

(k) If no offer of alternative employment is made, or if one has been made and has been rejected by the employee, a further formal interview is necessary. Again, the employee should be informed of it and its reasons in advance, and at the meeting the history of the case should be gone through, and his/her explanations (if any) listened to and considered before a decision whether or not to dismiss is taken.

(l) If dismissal is decided upon, the employee should be dismissed by notice, or with pay in lieu of notice.

(m) At the time notice is given, the employee should be told of any right of appeal within the organisation. Although lack of capability is not a disciplinary offence, the normal procedure should be to allow the employee in this position the same avenues of appeal as would be available if confronted with a disciplinary decision.

In applying such a procedure, early consultation with the employee's representative is recommended. It can lead to other assistance being given to the employee to improve.

If at any time during or following steps (a) to (i) the employee improves performance so that capability is no longer in question, the employee should be informed of this, the remaining stages of the procedure not applied, and any formal warning recorded in his/her file removed (*ibid*).

A guiding principle for the application of a procedure for handling incompetence was suggested in these terms:

> If an employee is not measuring up to the job, it may be because he is not exerting himself sufficiently, or it may be because he really lacks the capability to do so. An employer should be very slow to dismiss upon the ground that the employee is incapable of performing the work which he is employed to do without first telling the employee of the respects in which he is failing to do his job adequately, warning him of the possibility or likelihood of dismissal on this ground and giving him an opportunity of improving his performance (James v Waltham Holy Cross Urban District Council, 1973).

It follows from this that, if an employee is dismissed for a reason related to capability and the employer relies on the results of appraisal of the employee's performance as justifying the dismissal decision, an industrial tribunal may be more likely to regard the employer's decision as fair than if no evidence of a structured appraisal was available. It would be unrealistic not to expect the results of appraisal to be considered when applying a formal procedure of the type outlined above, but that is no justification for opposing the introduction of an appraisal system. Indeed, as Walton points out, 'a staff assessment system which is conscientiously applied by management can be very relevant to the fair dismissal of the employee whose work is of an unacceptably low standard and who does not, or cannot, improve to the standard required' (*ibid*). He cites an example of an industrial tribunal which, having scrutinised the report forms on an employee, commented that the manager who had completed them seemed to have been 'extremely industrious and fair, giving credit where it is due' (Jacomb v British Telecommunications).

Nevertheless, assurances should be given to staff in further and higher education, if their co-operation is to be obtained, that the object of a proposed performance appraisal system is not to provide management with a better implement for weeding out the unsatisfactory individual, but is aimed at

providing a means of assessment which encourages the employee to identify and build on the strengths of his/her performance, and to try to rectify any weaknesses through discussion of work programmes, performance and personal development.

The suggested procedure for handling unsatisfactory performance is applicable whether or not an appraisal system exists. The safeguards in the procedure will not be diminished by the application of performance appraisal in the individual employee's case. Indeed, the counselling element prominent in a performance review and development system of performance appraisal may serve to enhance them.

## 3.5 REDUNDANCY SELECTION

Similarly, because selection for redundancy using competence and adaptability as criteria are not uncommon, assurances may also be necessary that the appraisal system should not be seen just as a means of facilitating selection for dismissal for redundancy at some future date.

Section 59 makes it unfair to select an employee for dismissal for redundancy from among other employees in the same undertaking who hold similar positions and are not dismissed, if the selection contravenes a customary or agreed procedure relating to redundancy and there are no special reasons justifying a departure from that procedure in the employee's case.

Thus, if such a procedure exists and does not include competence or performance appraisal results as criteria for selection, it would be unfair to use them without special reasons. If there is no such procedure and the employer facing proposed redundancies does not enter into such an agreement (and there is no obligation for him/her to do so), the employer can select on any reasonable grounds, which may include capability. It is only one of the criteria which may apply, as illustrated in the following series of questions which Walton advises employers to ask themselves before deciding who will be made redundant.

(a) Is there a trade union which I recognise for collective bargaining purposes for the employment group in which the redundancies will take place? If so, prior consultation with the union is essential.

(b) Is there a customary arrangement or agreed procedure for selection for redundancy? If so, and provided that it does not involve unlawful direct or indirect discrimination on grounds of sex or race or selection on grounds of membership or non-membership of a union, the customary arrangement or agreed procedure must be applied or a dismissal in contravention of it will be unfair.

(c) If there is no customary arrangement or agreed procedure for selection, am I taking into account all the relevant factors in selecting one employee instead of another including:

- length of service;
- age;
- vacancies elsewhere in the organisation;
- capability;
- attendance record;
- conduct;
- opportunities for alternative employment within the organisation;
- qualifications and experience;
- whether there are any volunteers for redundancy;
- the views of the employees who are in the redundancy field (i.e. consultation is required with the recognised unions or, if there are no recognised unions or if they favour individual consultation, with the employees themselves);
- avoidance of discriminations on grounds of sex, marital status or race (or, in Northern Ireland, religion, but not race);
- avoiding selection on grounds of membership or non-membership of a union;
- any other key factors which seem relevant to me?

(d) Having assessed the relative position of those within the field of redundancy, have I given full consideration to each of the factors taken into account, as between one employee and another?

(e) Am I being reasonable in the selection I propose to make?

(f) Have I adequately consulted with the employee whom I am proposing to dismiss for redundancy? (*ibid*).

The National Joint Council for Further Education Teachers in England and Wales has published as part of its scheme of conditions of service a procedure for dealing with redundancies in further and higher education. This does not deal with selection for redundancy, but obliges the employer to take steps to avoid the redundancy and to assist the redundant teacher by attempting to find alternative work, retraining him/her and providing a year's notice of the dismissal caused by the redundancy (NJC For FE Teachers in England and Wales, 1981).

## 3.6 AN ACAS CODE[14]

In 1985 ACAS issued a consultative document for a new quasi-statutory code of practice on disciplinary and related procedures in employment. At the time of writing, the draft code was awaiting approval by both Houses of Parliament under the procedure in Section 6 of the Employment Protection Act 1975. The code suggests *inter alia* that:

> During the course of employment, performance should be discussed regularly with employees, either formally or informally. Steps should be taken to ensure that inadequate performance, particularly during probation periods, is identified as soon as possible so that appropriate remedial action can be taken.
>
> Where an appraisal system is in operation, it is important to ensure that assessment criteria are not discriminatory and are applied irrespective of racial group, sex or marital status (Paras. 39-40).

As far as these recommendations go, they tend to support the need for a performance appraisal system.

The NJC for Further Education Teachers in England and Wales' scheme of conditions of service reflects the ACAS Code. It provides that the first year of an appointment can be probationary and, by way of a recent revision, a disciplinary procedure which has the following key elements:

- an interview with the principal following written notification to the teacher who may be accompanied by a friend;
- provision of full details of the complaint;
- remedies in the form of no action, reprimand, oral written or final warning, reference to the Governing Body;
- provision of an appeals procedure (NJC for FE Teachers in England and Wales, 1986).

## 3.7 INSTRUMENTS AND ARTICLES OF GOVERNMENT

Under these the director or principal is generally responsible to the governors for the general management, organisation, conduct and discipline of the institution and must exercise supervision over the teaching and non-teaching staff generally, in association with the heads of department. Thus a duty to monitor and observe a teacher's performance, and for the teacher to co-operate in such monitoring and

14. **Proposed code of practice for disciplinary and related procedures in employment**, ACAS, (unpublished at the time of publication).

observation, is an implied term of every teacher's contract, if not expressly stated therein. Any objection by a teacher on grounds that it is unprofessional for his/her performance to be observed by the principal or a head of department, or by an inspector or adviser of the employing authority, should be rejected. Disciplinary action may be appropriate if the teacher persists with his/her objection.

In **Hitchings v West Glamorgan County Council** (IT 9814/85), for example, Mr Hitchings, a teacher of English at a comprehensive school, received a letter from the head teacher informing him that, as a result of a perusal of his pupils' books, his work would be monitored, with the county adviser on English being asked to observe his teaching. Two weeks later the head teacher and the adviser went to a class being instructed by Mr Hitchings, who refused to allow them to observe his teaching and questioned the head teacher's authority to do so. No doubt he was relying on the popular belief among many teachers that it is unprofessional for their work as qualified teachers to be observed.

The next day Mr Hitchings again refused to have his teaching observed. When the head teacher and the adviser insisted on remaining in his classroom, he walked out. He was suspended and later dismissed.

At the industrial tribunal hearing of his unfair dismissal complaint, the secretary of the local branch of his union explained that he had instructed him not to co-operate and to resist any monitoring and observation of his work. The tribunal, dismissing Mr Hitchings' complaint, said:

> I regret to say that, in our opinion, the advice given to Mr Hitchings was irresponsible and I am sure does not command the official support of a union designed to represent professional people. In any event it is clearly no defence at all as far as Mr Hitchings is concerned . . . In a school where discipline is of great importance and perhaps these days is more important than it has ever been, if staff are not prepared to accept the discipline as embodied in instruction by the head teacher, how can it be expected that the pupils will obey reasonable rules of discipline imposed upon them?

## 3.8 BURNHAM PROVISIONS

Two provisions of the Burnham Further Education Committee's salaries document (Scales of Salaries for Teachers in FE, England and Wales, 1983) have a bearing on assessment of capability. Paragraph 2 (a)(i) of Appendix 1A reads:

> A Lecturer Grade II who is responsible for a significant amount of work classified as Category I or II/III in the year in which he is on point 8 of the Lecturer Grade II scale shall be transferred as though the scales were continuous to the Senior Lecturer scale when he becomes entitled to receive one further increment, subject to having satisfied the efficiency requirements. If the efficiency or work requirements are not satisfied he shall continue to progress on the Lecturer Grade II scale and shall only transfer to

the appropriate point on the Senior Lecturer scale when the requirements are subsequently satisfied.

The document is silent about the efficiency requirements, leaving them to be decided upon by the LEA and/or the college. However the Joint Secretaries' commentary on the Burnham Salaries Document (Joint Secretaries of the Burnham FE Committee, 1976) does set out a procedure for judging efficiency. This has the following elements.

> The case of each individual who becomes eligible for transfer to the senior lecturer scale in this way should be reviewed in good time by the principal of the college, having received such advice as he and/or the authority may require for the purpose. He should then submit the names of the teachers concerned to the governors or to the authority as appropriate, specifying in each case whether the individual is considered to have satisfied the requirements or not.
>
> The decision should be communicated to the teacher as soon as possible. If the teacher is considered not to have satisfied the requirements he should be advised that he has a right of appeal. If the teacher decides to appeal, the principal should prepare a report on the matter, and the teacher should be furnished with a copy and other relevant documents. For the purpose of hearing the appeal the formal stages of the individual grievance procedure as agreed in the authority concerned should be made available to the teacher.

Since the grievance procedure enables teachers to have a hearing before governors and then an appeal to the local education authority — a truly cumbersome process — it is not surprising that the number of teachers who have been declared inefficient is very small indeed.

In paragraph 2 of Appendix III of the Burnham Salaries Document, reference is made to a power to withhold an increment from a teacher who becomes due for the increment under the incremental provisions of the document. It reads:

> 'No increment shall be withheld in respect of any year of teaching service unless the service in that year has been declared unsatisfactory by the local education authority. In such a case, payment of the increment in respect of that year shall be withheld only during the following year unless the local education authority otherwise expressly determines.'

In practice this is a rarely used provision. Because the Burnham Salaries Document is supported by statute, withholding an increment can lead a local authority straight to court if the teacher pursues the matter. It should be noted that the new disciplinary procedure, referred to above, sees the withholding of an increment as a possible remedy in a disciplinary case.

### 3.9 SUMMARY

Anyone contemplating the introduction of an appraisal scheme in further

education needs to be aware of the legal parameters drawn by employment law, other statutes and collective agreements. The main areas in employment law which can affect appraisal are those found in the Sex Discrimination and Race Relations Acts. Schemes of appraisal must not be discriminatory. In addition, other employment protection legislation and codes made under it require attention if appraisal is a consideration in relation to disciplinary dismissal or redundancy decisions.

Other statutory parameters come in the form of the Data Protection Act which will enable appraisees to have access to their records if these are computerised. Instruments and Articles of Government can also have implications for the appraisal process, as can provisions of the Burnham Salaries Documents.

Finally, since in some cases the agreements reached in the NJC for Further Education Teachers in England and Wales have the force of law through individual contracts, those developing an appraisal arrangement need to be aware of the scheme's provisions in relation to probation, disciplinary procedure, dismissal procedure and redundancy procedure.

## REFERENCES


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# Scheme Design

## 4.1 OBJECTIVES AND STANDARDS

The main purpose of performance appraisal is often described as 'the improvement of performance in the current job'. As explained by one commentator (Randall, Packard and Slater, 1984) that encompasses:

- **evaluation** to enable the organisation to share out fairly the money, promotion and perquisites;
- **auditing** to discover the work potential, both present and future, of individuals, departments and the organisation as a whole;
- **constructing succession plans** for manpower and corporate planning;
- **changing jobs** by obtaining job enrichment or job design information;
- **discovering training needs** by finding out the inadequacies and deficiencies that could be remedied by training or special experience;
- **motivating staff** to reach organisational standards or objectives;
- **developing individuals** by advice and information, and shaping behaviour by positive and negative reinforcement;
- **checking** the effectiveness of personnel procedures and organisational practices.

To adapt that list to a system for appraising the performance of staff in colleges would not require mental gymnastics; but its application in practice, as with so many performance appraisal systems, might founder over the determination of standards. Most exponents of performance appraisal are united in a belief that standards must be set so that performance can be measured against their attainment, or lack of it. For production line workers, salespeople and almost anyone else whose output is measurable, the definition of standards should be no problem. But for professionals and quasi-professionals in occupations where no clear-cut measure of personal attainment in their performance of work exists, to talk of standards against which meaningful achievement marks can be awarded may be to indulge in wishful thinking. To attempt to devise a performance appraisal system for quasi-professionals like college staff, which depends on marked assessments against some unquantifiable standards, would probably lead

to an unworkable system in which everyone's marks would be so close to one another's as to render the exercise meaningless.

Oliver (1985), in spite of claiming that 'without standards there can be no objective evaluation of results, only a subjective guess or feeling about performance', attempts to grasp the nettle of definable professional standards when suggesting:

> Standards for evaluating professionals must attend to the goals of the individual, the profession and the organisation. For this reason, standards must be jointly established either through individual role negotiation or through a committee composed of administrators and representative professionals.
>
> Although the organisation must maintain acceptable levels of performance in many areas, not all professionals can be expected to excel in every area.
>
> Minimum levels of performance may be necessary for all organisation members, but the weights of specific criteria may vary from individual to individual in order to recognise personal strengths and weaknesses and maximise over-all effectiveness . . . Each professional's personal, negotiated standards may be in the form of a list or narrative explaining that individual's planned contributions and accomplishments.
>
> A final distribution may be achieved by ranking, paired comparisons, or forced distribution in order to make decisions regarding rewards, recognition, tenure, development and promotion.

Any performance appraisal system designed for staff in further and higher education in England and Wales which was designed along those lines would be likely to encounter much opposition. The use of ranking, paired comparisons or forced distribution might be regarded as setting teacher against teacher.

Among his suggestions for designing a performance appraisal system applicable to professionals, Oliver also mentions 'student evaluation of professors' but qualifies it by drawing attention to its limitations, saying: 'Student evaluation of teachers measures interest, stimulation, motivation and understanding imparted to the students, but does not measure the relevance of course content'. One might add that, in further and higher education, student appraisal has provoked resistance from those being appraised by their students. Another problem with student appraisal is that it can favour those who court student approval by means unconnected with lecturing or tutorial duties.

Oliver's suggestion for 'personal, negotiated standards' for each member of staff may have little to do with standards per se. Viewing standards as if they can be predetermined in some measurable and accurate way, may tend to make satisfactory performance appraisal systems for further and higher education colleges more difficult to achieve than may otherwise prove to be the case. A better approach may be to avoid aiming for defined standards — whether personally set or, as the Department of Education and Science may prefer, institutionally applied — and to look at the problem as one of acceptable performance bands. In that way the concept of a band of reasonable standards

acceptable to the department or college can emerge. Within it there will be a range of variables extending from the excellent to the marginally acceptable. There will be room for encouragement and improvement which is after all a fundamental performance review and development objective. Similarly, the inadequate performer who falls outside the band of reasonable standards can also be encouraged to improve so that, given a sufficient response, his/her performance can be brought within the band, albeit initially near its lower borderline.

That approach could be a realistic one in an area of appraisal where the variables are likely to be considerable. It could also avoid the glib over-simplification of a system requiring heads of department to set supposedly firm and defined standards and then purport to measure lecturers' performance against them.

## 4.2 WHAT ELSE IS NEEDED?

Some commentators believe that staff appraisal systems are broadly of two types — 'hard' and 'soft', with 'hard' meaning a scheme in which the outcomes involve taking decisions which can be classified as preventive, corrective or drastic. These outcomes also involve a connection between appraisal, cash rewards and disciplinary action (if only in the last resort) (Curtis 1982). A 'soft' system has no sanction or reward and anticipates that the fundamental aim of staff appraisal is to offer encouragement, self-appraisal, an awareness of current performance and objectives for the future — in other words a performance review and development (PR&D) system.

It is doubtful whether a 'hard' system would be appropriate in a professional structure such as further and higher education with prescribed salary levels, rigid incremental progression and statutorily imposed limitations on promotion opportunities. In addition, 'soft' systems are more acceptable to staff, and in the context of further and higher education are likely to find more support from appraisers. This chapter therefore concentrates on systems which are more readily classifiable as 'soft'.

The distinction between hard and soft systems may not be helpful in further and higher education. If the recent scale mergers of lecturer grade I and lecturer grade II and the earlier arrangement enabling staff doing advanced level work to progress from the lecturer grade II to senior lecturer scale are taken into account, we see that in non-advanced further education most lecturers' probability of promotion past the basic (lecturer I/lecturer II) scale is very small indeed. Only five per cent of posts (at maximum) are created at the senior lecturer level in respect of non-advanced work under the Burnham establishment arrangements. In advanced further education the probability of promotion past the basic (lecturer II/senior lecturer) scale is also small. Twenty five per cent of posts in advanced level work are established at the principal lecturer level. If those selecting staff for promotion make the completion of a staff development

provision a criterion in selecting, the appraisal analysis which produces staff development opportunities may be no 'softer' than apparently 'hard' schemes which produce promotion directly.

The Suffolk study (1985) identifies the following elements as those which are necessary for implementing and running a performance appraisal system akin to performance review and development:

- commitment and support from the top, including the LEA;
- a clearly defined purpose;
- objectives which do not conflict;
- flexibility to take account of the differing contexts in which teachers work and of the variables which can affect performance;
- an evolutionary process;
- making sure that all staff involved fully understand the system;
- an intention to appraise all staff in the organisation, including LEA staff;
- mutually agreed and up-dated job descriptions;
- self-appraisal as a first step, followed by joint participation and discussion of problems inhibiting performance;
- classroom observation as a central part of the process;
- focus in appraisal interviews on performance in the job and not on personality;
- open, frank and immediate feedback to the person appraised;
- mutually agreed objectives for the succeeding year, with an interim interview arranged for three or six months after the appraisal interview;
- thorough training of appraisers in interviewing and observational skills;
- a continuous process of appraisal, with formal interviews as only one event along the way.

Note the absence in that list of a direct reference to 'standards'. With its 'clearly defined purpose' in mind, the Suffolk study suggests that appraisal schemes at each school should aim:

(a) to improve learning opportunities for all pupils;

(b) to improve the management and support of the learning process;

(c) to improve the 'tone', or hidden curriculum which influences all work in the school; and

(d) for the teacher

- to recognise and support effective practice;
- to identify areas for development and improvement;
- to identify and develop potential.

Objectives (b) and (d) should be equally attainable in colleges.

By identifying 'classroom observation as a central part of the process', the authors of the Suffolk paper are underlining the message that, for performance review to be sufficiently comprehensive, some element of classroom observation will be important. Without it the potential effectiveness of performance appraisal will be compromised. This is emphasised elsewhere in the paper, where the authors identify 'seven distinct phases' in the process of appraisal, namely:

- preparation;
- classroom observation;
- the appraisal interview;
- results;
- monitoring;
- modernisation;
- evaluation.

However, the authors are at pains — and rightly — to emphasise the need for appraisers to be trained in classroom observation.

> Most teaching and much learning takes place in classrooms so, if the effectiveness of the teaching/learning process is to be appraised, classroom observation will offer the most practical procedure for collecting data about teacher performance. Because many teachers express unease about this, feeling that observers are an intrusion in the classroom, their very presence changing the situation, and because any one lesson may not typify the generality, observational data must be gathered with particular care and on more than one occasion. Teachers must have confidence in the fairness of the process. They are more ready to accept the recording of events than inferential judgments. The quality of the observation, the way in which appraisers collect and share data with teachers will be over-all factors in the success and effectiveness of teacher appraisal.
>
> Training will be essential to ensure that appraisers become *skilled observers*: it cannot be assumed that good teachers will necessarily be good observers. Teachers and appraisers need to see observation in a constructive way, as a co-operative venture between them leading to improved classroom performance.
>
> Mutual agreement about the criteria on which observations are structured will be essential.

We discuss training requirements in Chapter 5.

The other elements identified in the Suffolk study, including setting objectives, can all be accommodated in the structured interview backed up by the use of forms (like that illustrated in Appendix C) and followed by feedback to the individual members of staff.

Adoption of a structured system, and a clear definition of the methods necessary to achieve its objectives, are essential. The attainment of a perfect system is probably impossible. The realisation that, as Pryor says, 'experience shows that no one has found the ideal system' (Pryor, 1985), should discourage attempts to aim too high in an area like further and higher education, where formal performance appraisal has rarely been attempted. Key objectives should be to achieve and maintain a good and constructive relationship between the appraiser and the employee and not to allow appraisal to degenerate into a form-filling exercise with the information being used solely for personnel records and annual returns. Above all, the clear message is: keep it simple.

Pryor identifies the benefits to be derived from effective appraisal discussions between manager and employee as:

- revealing areas for potential improvement in performance;
- the opportunity for the manager to strengthen and develop his/her relationship with the employee;
- development of staff within a work unit by looking at areas where skills can be further enhanced or are not being fully used, together with the changing requirements of the employee's job;
- career development.

## 4.3 METHODS OF APPRAISING PERFORMANCE

Before an appropriate method can be identified, the purpose of the proposed appraisals must be defined. Is it to appraise:

- job related abilities; and/or
- personality, including inter-personal relations; and/or
- motivation; and/or
- results achieved?

Of these, only personality was identified by Suffolk County Council (op.cit.) as inappropriate for performance appraisal in an educational setting — a conclusion which is questionable.

Approaches used for appraisal in organisations where it is established have included the following.

**Manager domination**: Here the manager completes a form and asks the employee to sign it. The manager does the work and the employee contributes little to the appraisal. As the effectiveness of the exercise is likely to be minimal, this approach is, in our view, best avoided.

**Discussion orientated**: This can involve a combination of self-assessment by the employee, joint assessment in which both try to agree about the employee's strengths and weaknesses, and counselling the employee. Each approach can be used separately or, as may be more common, as part of a single assessment.

**Employee focussed**: Here the manager gives the employee the appraisal form and, after asking him/her to fill in the details, returns it to the personnel department without any discussion with the employee. This merely pays lip service to the concept of performance appraisal and is virtually a valueless exercise.

Any inclination towards the first or third of those techniques might best be resisted as either would be likely to reduce the system to a mere formality. In general, the more participative the appraisal interview, the more valuable it is.

Goodwill is needed from both parties, as well as clear understanding of the purposes of appraisal and an acceptance of the benefits which can result, both in the organisation's interests and those of the employee. Initially, counselling may be the only approach, until the employee responds to the extent that full joint assessment or self-assessment can be a predominant feature of the interview. This latter development can more readily be achieved by careful preparation before appraisal begins, particularly before the employee attends the interview. The more information which is communicated in advance to the employee about the system, the sooner a good level of self and joint assessment can be achieved. One technique for encouraging that is to ask both the employee and the appraiser to fill in a standard appraisal form, of the type suggested in Appendix D as suitable for colleges, before the interview takes place and for the discussion to concentrate on those comments on the forms which indicate different views about the employee's performance.

Another variation is to help the employee to prepare for the appraisal interview by completing a simple preparation form. A model suggested by Edwards (1984), slightly adapted for further and higher education staff, comprises parts A and B of the model form in Appendix D. It is intended to complement his list of key points for managers conducting appraisals, which are as follows.

(a) Be positive and constructive.

(b) Be well prepared for the discussion.

(c) Encourage each individual to prepare for the discussion. Design a simple questionnaire if it will help (as in the example in Appendix D).

(d) Consider the criteria by which you judge performance. Agree these with the individual.

(e) Concentrate on discussing results achieved and how they influence the forseeable future.

(f) Try and conduct the discussion in terms of 'we', not always 'you' and 'I'.

(g) Allow plenty of time for each discussion.

(h) Make sure agreed action points are followed up.

To that list we would add, 'Ensure that there is adequate feedback to the individual as frequently as necessary'.

For preparing for the interview we recommend using the Appendix C form as an annex to the Appendix D form, so that the appraiser and the appraisee each have an identical form to complete before the interview. After comparing them at the interview the appraiser can complete a final version of it, obtaining if he can the appraisee's agreement to it. To clarify this, an explanation of it is included as Part C of the Appendix D form.

Performance development should not be focussed solely on an annual or cyclical appraisal interview. Feedback and setting objectives are essential ingredients. They enable the employee to know how he/she is doing and what is expected of him/her. A well organised system for providing feedback can be an essential part of a performance appraisal system and can encourage the willing participation of employees in it. A results orientated system (see Section 4.4) is well suited to feedback. The importance of feedback has been emphasised by one writer thus:

> The end of the interview round is the beginning of the real work, which is to improve results, either by detecting and solving problems or by detecting and giving opportunities to positive items, such as the attainment of new skills, the desire to receive further training, and the utilisation of talents which may not have been needed or even suspected.
>
> There is little point in going through the considerable work involved if results do not emerge. (Alfred Marks Research Unit, 1984).

## 4.4 TECHNIQUES

Four main techniques for appraising performance are identified by Fletcher (1983) as follows.

### Rating scales

These involve deciding the most important qualities to be assessed and requiring the appraiser to mark each of them, plus over-all performance, on a scale such as:

1 Outstanding
2 Very good

3 Good
4 Fair
5 Not quite adequate
6 Unsatisfactory

Qualities such as dependability, initiative, integrity, maturity, determination and effectiveness with people can be assessed under this method. Its advantages include ease of comparison between staff when deciding promotion and ease of introducing different factors to cover specific jobs.

Comparability is of course a debatable aspect of performance appraisal. If it is to be an objective, a rating scale method is likely to be necessary; but the disadvantages of that system and particularly its potential for allegations of unlawful discrimination may well mean that comparability has little place as a performance appraisal objective.

Other disadvantages of rating scales include:

(a) making it easy to mark particular characteristics encourages subjectivity;

(b) a tendency for appraisers to bunch people into categories 2 and 3, thereby reducing the effectiveness of the exercise;

(c) the risk of marking being influenced by factors such as ethnic origin and marital status;

(d) limiting the appraiser to a fixed range of assessments and not providing him/her with the chance to expand on a particular assessment;

(e) failure to reflect the attributes necessary for effective performance in the job;

(f) complex appraisal forms often covering many pages.

With the disadvantages likely to outweigh the advantages, rating scales on their own are unlikely to be a sufficient foundation for an effective performance appraisal system for further and higher education. However, limited use of broad scales for assessing 'performance' or 'potential for promotion', when linked to other methods, may well be worth some consideration.

**Results-orientated appraisal**

Under this the appraiser and the person being appraised agree on work objectives for the forthcoming period and how these may be achieved. At the interview, performance during the period since the last appraisal will be discussed with particular reference to the targets set at the beginning of that period.

For this method an appraisal form such as that in Appendix C may be necessary. By not requiring the use of a rating scale and by allowing for the appraiser's comments to be entered on it, the form may contribute to what Romano describes as helping the 'human relations exercise' (Romano 1985) at the root of the performance appraisal system and giving rise to the following benefits:

(a) better relationships between the manager and the individual employee;

(b) improved goodwill towards the company on the employee's part by generating in the employee a belief that the appraiser is interested in him/her as an individual;

(c) a two-way discussion rather than a vehicle for criticism;

(d) a chance to discuss matters which would not normally arise during the normal working day.

Those benefits may in practice be enhanced if both the appraiser and the appraisee separately complete the forms before the interview takes place and, after comparing their respective forms and discussing points of divergence, the appraiser makes out a new form showing the results of the interview.

Other advantages of results-orientated appraisal can be:

(a) more objectivity than the rating scale method;

(b) motivation through goal-setting and task orientation, leading to greater participation in the appraisal by the appraisee;

(c) by being job related, minimising the risk of infringing equal opportunities legislation;

(d) improving the employee's view of his/her job;

(e) collaboration with the employee in setting objectives;

(f) useful feedback.

Disadvantages include:

(a) no scope for comparing one employee with another;

(b) possible difficulty in finding objectives which can be defined realistically;

(c) risk of focusing on limited objectives to the exclusion of other aspects of performance appraisal;

(d) objectives becoming irrelevant through rapidly changing circumstances;

(e) lack of control by the employee over his/her own work programme so that he/she may be unable to achieve the goals through no fault of his/her own;

(f) setting objectives that are no more than the minimum performance requirements of the job.

Results orientated appraisal can in practice produce the type of PR&D system which, as we suggest in chapter 6, would be appropriate for further and higher education institutions.

### Essay methods

Here the appraiser is required to produce a pen-picture of the person appraised, perhaps by reference to a checklist of relevant qualities. These may be more appropriate for persons in very senior posts.

Advantages are the simplicity of the method and the scope it affords to the appraiser. However, disadvantages are the difficulty in comparing one assessment with that of another person at a similar level, the appraiser's ability and willingness to express him/herself in writing, and the highly subjective document which can result from use of the method.

Fletcher (op.cit. 1983) regards exclusive reliance on free-written appraisal of this type as 'generally unwise'.

### Critical incidents method

The appraiser is required continually to monitor an employee's performance and to record on a form or forms incidents of good and poor performance. The method has the advantage of being relevant to the job and to the employee's performance of it, but on its own it can engender distrust in an employee who may regard it as too much of a 'big brother' approach. Disputes about the matters recorded can follow.

The method can be useful when trying to persuade an inadequate performer to improve the standard required: the documentary record of the success or otherwise of the attempts to do so can form an important part of management's monitoring of the employee's progress, or lack of it.

### Other considerations

An interesting approach to scheme design in further and higher education is advocated by Turner (1981) and has been elaborated on by Scribbins (1985). In designing any system the direction of the appraisal — top down, bottom-up, peer appraisal, self appraisal, client appraisal etc., must be decided. It is also

necessary to decide a number of other features of the planned scheme, such as:

- whether it will be voluntary or compulsory;
- whether reports will go to the college management or the academic board;
- whether the methods will be open to negotiation or fixed;
- whether or not documentation will be retained and, if so, for what period and purpose.

## 4.5 WHERE TO START?

The ways in which performance appraisal can be carried out depend upon the organisation's objectives in introducing it. Relevant questions are whether it provides for:

- structured assessment;
- feedback;
- motivation;
- performance improvement;
- comparability.

Any scheme should aim for a balance between the needs of the organisation and the needs of the employee.

For a system to be capable of achieving its objectives, early consultation with employee representatives, accompanied by a full explanation and the purpose of it, will be essential.

## 4.6 INVOLVEMENT OF SENIOR MANAGEMENT

For its part, senior management should be committed to the proposed scheme and make clear its commitment to it. If performance appraisal is introduced for senior managers before being extended to lower grades, that commitment will be demonstrated.

In Fletcher's view: 'If top management is not seen to be involved and committed, nobody else is likely to take it seriously either. Appraisal is not something that should be seen as 'good for **other** people' (Fletcher op.cit.). Starting at the top and working down, even if done only in one section of the organisation at a time, also lets subordinates know what it is like to be on the receiving side of appraisal — an insight which may help when they in turn do their appraisals.

Another important aspect of this scheme is that while appraisal is part of a

continuing dialogue between managers and their subordinates, actual appraisal interviewing is carried out on a cyclical basis spanning a minimum of six and a maximum of 12 months.

## 4.7 A SYSTEM FOR FURTHER AND HIGHER EDUCATION ESTABLISHMENTS

From the various types of approach to performance appraisal discussed in this chapter an outline for a discussion and results orientated PR&D system for further and higher education colleges can be extrapolated. Its ingredients include:

- ensuring that everyone knows what performance appraisal means and that senior management is committed to it;
- no formal measurement of performance against pre-determined standards, but assessment aimed at determining whether the staff member's performance falls within a band of reasonable standards acceptable to the department or college;
- adequate training for appraisers (see Chapter 5);
- appraisal of all staff;
- self appraisal as a first step, using the form in Appendix C supplemented by the Appendix D form;
- classroom observation;
- thorough preparation by appraiser and appraisee for the appraisal interview, with advance notification of the date and time of the meeting;
- participative appraisal interviews conducted by trained appraisers focusing on performance review and development, and including feedback on previous performance and the attainment of previously set objectives, and counselling;
- some form of evaluation of performance, using for record purposes a newly completed Appendix C form following the appraisal interview;
- mutually agreed, realistic objectives for the succeeding year, agreed at the appraisal interview or subsequently as appropriate, and recorded on the Appendix C form;
- action on matters identified as requiring attention and appropriate feedback about them;
- copies of the Appendix C form to be signed by the appraiser and the appraisee, with each retaining a copy.

The training of appraisers to enable them to implement and sustain the system is essential. In Chapter 5 we look at the ingredients for a possible training programme.

The type of system outlined above bears more relationship to performance review and development than to performance appraisal, in the more formal sense in which it is applied in industry, where rating scales are frequently used and targets imposed by management. Ivancevich observes that professional employees do not react favourably to assigned goal setting and cites other research supporting this conclusion. Not surprisingly, he also finds that 'assigned goal setting may increase subordinates' anxiety within the appraisal interview' (Ivancevich, 1982).

This confirms our view that flexibility is important in any appraisal system proposed for a further and higher education establishment. The avoidance of the use of rating scales and imposed targets, leaving objectives to be settled by agreement, must accompany such flexibility. Thus there emerges a performance review and development (PR&D) scheme with significant advantages over more formalised performance appraisal.

We return to the PR&D approach in Chapter 6, but ask the reader to regard the suggestions which follow in the intervening chapters as applicable to PR&D just as much, or more than, 'pure' performance appraisal.

## 4.8 SUMMARY

Designing an appraisal scheme relies on decisions about a number of critical issues. The first of these concerns the objectives of the scheme and whether or not measurable standards can be used within it. The conclusion of most commentators — however reluctant — is that a standards-based scheme is unlikely to find appeal among professional and quasi-professional workers. An approach which envisages bands of reasonable standards is more likely to succeed in education.

The Suffolk study, which provides a valuable ingredients list for appraisal schemes in the schools sector, avoids classifying schemes by their intended outcomes and concentrates instead on the phases of the appraisal process.

Decisions will be needed about the roles of appraiser and appraisee. Manager dominated, discussion orientated (PR&D) and employee focused schemes are all possible, but the second of these is most likely to succeed in education. Another way of approaching scheme design is to decide the direction of appraisal: top down, bottom up, peer, self, client etc. Fletcher identifies four techniques which can apply in any scheme: rating scales, results orientated appraisal, essay methods and critical incidents methods. Finally, further decisions are necessary about where and how to start the appraisal process. Here most commentators stress the importance of involving the senior management both as appraisers and, vitally, as appraisees.

Two forms are introduced in this chapter — one which helps preparation for

appraisal and one which helps guide the appraisal. The precise nature of the forms is much less important than the recognition that preparing for carrying out and feeding back the appraisal are equally important parts of the process. This approach enables us to see appraisal as part of performance review and development.

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# Appraisal Training

## 5.1 PRELIMINARY STEPS

The training of appraisers in all aspects of performance appraisal is essential, not only to ensure that they are sufficiently knowledgeable but also to make them acceptable to the appraisees. An appraiser trained in observation, interviewing and counselling is more likely to handle each stage of the appraisal process in ways which those being appraised will regard as helpful and constructive.

In section 4.7 we summarised the features which could be included in a system designed for further and higher education institutions. Here we look at the case for training appraisers in each of those key areas, which are:

- explaining performance appraisal;
- preparation for appraisal;
- classroom observation;
- the appraisal interview;
- setting objectives;
- counselling;
- feedback.

As will be seen, those topics should be the basis of any study conference or other form of training programme for appraisers. With role playing suggested as an important part of such a programme, the encouragement of some measure of personal rapport between the participants will be necessary. According to research carried out by Allinson (1977), 'A major problem of the role playing technique is the tendency for trainees to be inhibited initially'.

For this reason the course programme should begin with an 'ice-breaking' exercise such as the participants introducing their respective neighbours and explaining why their neighbours are there and what benefits they expect to get from the course. Much will then depend on the presentation during the introductory session suggested in Section 5.2. One of its aims should be to foster relaxed relationships between the participants.

In the early stages of the programme the inclusion of some form of game encouraging communication between the participants is suggested as an important way to encourage commitment to the role-playing exercise which will follow later.

## 5.2 EXPLAINING PERFORMANCE APPRAISAL

A vital requirement is for appraisers themselves to comprehend and be committed to the objectives of a performance appraisal system. This means more than acquiring and developing interviewing skills: an understanding of the system, its purpose and how it works in practice are also crucial. Appraisers must have enough information to enable them to answer questions about it convincingly, and particularly such questions as, 'Will an unsatisfactory assessment leave a permanent black mark on my record?' 'What uses will be made of the information about my performance?' and 'How will I know whether you think I am measuring up?'.

The inclusion of performance appraisal appreciation in a training programme for appraisers is therefore recommended. Motivating appraisers, in order to encourage their commitment to the system and increase their determination to make it succeed, should feature in this part of the programme.

This part of the training should be presented by, or include a presentation from, a skilled appraiser, supported by a videotape of performance appraisal as practised in a further education department or college (e.g. the GlosCAT scheme — see Appendix B) and possibly backed up by an assessment of the psychological aspects of the appraisal process.

It will be particularly important for sufficient time to be alloted in the programme for course members to question speakers about the purpose of performance appraisal a. 1 their experience of the operation of various systems.

Course members should receive sufficient information from this part of the course to enable them confidently to conduct introductory sessions on performance appraisal for the staff whom they will be appraising.

## 5.3 PREPARATION FOR APPRAISAL

Before the appraisal of individual members of staff takes place, the extent to which appraisers and appraisees will be expected to prepare for it will govern the approach to training in this aspect of a system. If, as is one suggestion in Chapter 4, pre-interview questionnaires are required to be filled in by both the appraiser and the appraisee, examples of completed forms can be analysed and used to demonstrate typical pre-assessments.

In this part of the training programme appraisers can be asked to complete pre-assessment forms themselves, perhaps as appraisers to reflect their assessment of the speakers in the earlier session. In addition, as the appraisers can themselves expect to be appraised under the system, they should also fill in their own pre-assessment forms as appraisees expecting to be appraised by senior management in their colleges. This can provide an appreciation of the fears and apprehensions of appraisees.

## 5.4 CLASSROOM OBSERVATION

The Suffolk report (1985) insists that, for the effectiveness of 'the teaching/learning process' to be appraised, classroom observation offers the most practical means of doing it. Vital to its success is the teachers' confidence in the fairness and the quality of the observation. After pointing out (as quoted in Section 4.2) that training is essential so that appraisers become skilled observers, the report adds:

> In order to establish and maintain a positive attitude towards appraisal, it will be necessary to ensure that all teachers are fully informed about both policy and procedures. Appraisers must have credibility and inspire the trust and confidence of the staff they appraise and, to this end, need to be trained in the skills and techniques of appraisal before the system is implemented. Time must be available to achieve this.

The report recommends the provision of training courses for interviewers and classroom observation techniques.

Parks (1985) also emphasises the need for classroom observation. He suggests that it can be done by resurrecting the idea of the professional tutor, as expounded in the 1972 White Paper ('The James report') and argues for the appointment of a full time professional tutor to the staff of 'educational institutions (particularly further and higher education)', possibly with staff involvement in the appointment. Professional tutors, according to Parks, should be 'especially trained or having higher teacher training qualifications like an Advanced Diploma of Further Education'.

However, even with appraisers with that sort of background, Parks shies away from any suggestion of reporting about teachers' performance. Proposing that the conversations between appraiser and teacher should be confidential and 'not used in an evaluative way which might affect his/her promotion prospects or threaten, amongst other things, his/her personal autonomy and teaching practices, unless willingly done', he puts as his first criterion that 'senior management should receive no feedback whatsoever'.

With respect to Parks' views, it seems unlikely that a performance appraisal system which ends with confidential counselling would be regarded by local education authorities as justifying the expenditure involved in employing full time professional tutors. As pointed out in Chapter 3, the responsibilities of principals include the efficient running of their institutions. If they were to receive no reports about the performance of their staff, knowing their performance was being monitored, it is hard to see how that responsibility could be discharged — a point which Parks obliquely recognises when saying that his proposals (which he describes as 'Triangulation' — i.e. the use of student appraisals as the third point of the appraisal triangle) would mean a redefinition of the educational manager's (i.e. the head of department) role, leaving it 'entirely administrative'. He adds, 'Perhaps some heads would be grateful to be well clear of this thorny aspect of their managerial responsibilities'.

But the trend is clearly in the opposite direction. *Laissez-faire* management has been held primarily responsible for the decline of major industries in the UK and to some extent to the criticisms levelled against the education system. Can it be expected that advocacy of greater *laissez-faire* management in further and higher education colleges be acceptable in today's climate? We see no reason to suppose that it would be, and every reason to conclude that it would not.

However, Parks' point that appraisers should be trained in classroom observation is important. He identifies, *inter alia*, the following broad factors for classroom observation:

- the structure of the lesson;
- communication;
- motivation;
- student/teacher relationships;
- questioning techniques.

Under Parks' scheme, soon after the lesson has ended the observer discusses his/her observations with the teacher and uses a modified framework of the observation results to interview the students for their views of the teacher. Parks recognises the potential defects in student appraisals of teachers ('students may not be entirely honest in a face to face situation'). For the reasons touched upon in Chapter 4, we share that view and remain dubious about the reliability and acceptability of appraisals by students, particularly as some form of record of appraisals is likely to be a necessary ingredient of performance appraisal systems in further and higher education colleges.

If we accept that training in classroom observation is crucial, what form is it to take? We suggest that the training course for appraisers should include a contribution from someone well versed in the criteria for, and practice of, classroom observation (e.g. an experienced educationalist accustomed to observing in a classroom), plus an exercise in which the participants are invited to appraise the performance of a lecturer, possibly by using a short videotaped recording of an actual session with students.

## 5.5 THE APPRAISAL INTERVIEW

This is the focal point of the appraisal process. A delicate and sensitive approach is needed if confidence is to be established. The appraiser must be prepared to include counselling in the interview, as well as discussion of future objectives and the achievement, or otherwise, of those previously agreed.

Complaints and grievances, particularly about lack of support and inadequate provision of equipment and resources, can be expected and the appraiser must be ready to respond to the points raised.

The essential characteristics of the good interviewer should be emphasised in the introduction to the interviewing skills part of the training programme. Preparation; being a good listener; patience; the avoidance of aggravating comments and interjections; the use of open ended questions; the avoidance of leading questions (e.g. 'Surely you agree that your lesson was unnecessarily detailed and obscure?'); a good knowledge of the purposes of the performance appraisal system and its operation and an ability to explain it coherently — these are just some of the points on which the training should focus. Another basic feature is to ensure that performance appraisal interviews take place at a pre-arranged date and time and are free from interruptions and, within reasonable bounds, free from time constraints.

Allinson (op.cit.) lists six major elements of appraisal interviewing as:

- motivating subordinates;
- communicating with subordinates;
- obtaining key information;
- determining and pursuing objectives;
- establishing a suitable atmosphere and rapport;
- organising and conducting the interview.

Advocates of performance appraisal training are almost unanimous about the need for training in interviewing skills. Most recommend role playing as its basis. However, opinions vary about the time needed for adequate training in interviewing. Harris, for example, reports that he contained it in a one-day course for the managers of a particular company, allowing from 10.45 to 16.30 for appraisal interview practice and a plenary session. He uses 'triads', with an interviewer, interviewee and observer interchanging roles during a two-hour session within the day (Harris, 1985).

However, Harris rightly points out that role playing in voluntary triads consisting of people who are unknown to each other or who distrust each other may well be unproductive: 'the need to spend time in getting to know people in such activities is underlined when interactive skills are to be developed'.

To help overcome that problem we suggest that the role playing interviewing exercises should not feature earlier than the third day of a performance appraisal training programme, if the time available allows.

We believe that Harris's model can be adapted without difficulty to provide a suitable framework for appraisal interview training in the type of programme suitable for further and higher education institutions. Briefly, it consists of:

(a) an unscripted videotape portraying three appraisal interviews featuring a member of staff who is unenthusiastic about developing new work, accompanied by briefing notes (see Appendix E). Each course participant is asked in advance to identify with either the interviewer or the interviewee;

(b) a discussion of the above;

(c) interview practice: groups divided into triads — interviewer, interviewee and observer — and provided with five sets of data (issued pre-course), from which to choose, consisting of completed pre-appraisal forms covering a range of activities, and a role handout for the observer (see Appendix F). An interviewer checklist (Appendix G), based on Olsen's recommendation (Olsen, 1980), can also be provided, as well as an interviewee checklist which is a variation on the interviewer checklist;

(d) participants to fill in interview forms to assess the feelings of both interviewee and observer;

(e) discussion;

(f) role change so that each participant has one practice in each role;

(g) final review session covering the main points emerging from the practice.

Harris notes that in the company training programme where the above pattern was followed, most of the managers taking part 'were of the opinion that the 'observer' role was surprisingly the most useful, in which they could look over the full procedure'. As an aid to understanding performance appraisal, that role is important in all exercises in a training programme. Harris notes that the other roles were also described as 'very insightful'. He then had an opportunity to adapt the approach to produce a programme for headteachers as part of an exercise aimed *inter alia* at enhancing their management skills. Course members provided pen portraits based on their own experience and were asked to play that role in the interviewing skills session. A guide sheet (Appendix H) was issued to help them. Item 5 on the sheet, which asks for information on a separate sheet of paper, was not available to the interviewer until after the interview, but was in the observer's possession during it.

Harris identifies three dependent factors for the success of the triad approach to performance interview training, namely:

(a) the care with which the members of the triads are chosen, having regard to the numbers in the group, the privacy and support they provide, the lack of threat to the individuals and the manner in which they can mirror a real experience;

(b) the 'stage management' of the activity itself: the appropriate small rooms, the context within which the triad activity takes place, the staff support provided between interviews, and — most importantly — a well structured plenary session to draw together much of the learning that has taken place;

(c) the management of individuals' own learning: here the use of the checklist to monitor each person's subsequent practice after the session is vital to the credibility of the method.

Given a sound introduction to performance appraisal, the reasons for it and the difficulties which it may encounter because of staff resistance, Harris's suggested approach, prefaced by a sound assessment of interviewing techniques, can form a useful base on which to found the role-playing which is regarded as necessary for sound performance interview training.

If the emphasis of the performance appraisal system is on the setting of individual objectives, with the interviews concentrating on an analysis of how well those objectives have been achieved and what future objectives can be agreed, the videotape examples of appraisal interviews will need to illustrate that approach. Both the optimistic member of staff who wants to commit him/herself to objectives which are unlikely to be realistic, and the hesitant member of staff who needs the appraiser's help to enable objectives to be defined, would need to be portrayed.

## 5.6 SETTING OBJECTIVES

Here the need is to be realistic. Over ambitious targets which, when the next performance interview comes round have neither been achieved nor were capable of being achieved, may render the whole exercise pointless. Objectives should be limited in number and related to practicalities in terms of the individual, his/her job, organisational requirements, and likely external constraints.

Training in setting objectives should be practically orientated, with the experiences of others being the focal point of a formal presentation of the topic. Participants can each be asked to identify three targets which they would consider realistic in terms of their personal responsibilities and collective objectives. In this way they can be introduced to the problem of determining achievable objectives as part of the exercise, bearing in mind that the feedback, which in Section 5.8 we suggest is a vital part of performance appraisal, is likely to involve some discussion of the targets already set and how they are being, and will be, fulfilled.

Depending on how an appraisal interview proceeds, the appraiser may want to leave open the question of objectives for later consideration and discussion. Training in this aspect of performance appraisal should therefore emphasise the inherent flexibility in the system, both as regards the objectives themselves and whether subsequent discussions are needed before they can realistically be aired and agreed.

Setting objectives, as with all performance appraisal, should be a participative exercise, featuring consultation, discussion and even negotiation. It should be borne in mind that 'assigned goal setting may increase subordinates' anxiety within the appraisal interview' (Ivancevich, 1982). Training should therefore be

directed towards ways in which objectives can be jointly determined with individual members of staff and how to ensure that they are acceptable. For heads of department and above, one objective may be to devise ways for them to ensure that the performance appraisal system remains useful for those members of staff whom they will be appraising.

## 5.7 COUNSELLING

This is an integral part of the performance appraisal interview, but the counselling role of the appraiser should not begin and end with that stage. For example, the appraisee, once the interview is over, will be thinking about what has been discussed and on reflection may want advice about some aspect or other of his/her performance. The trained appraiser will be the person to go to.

Similarly, if objectives have been agreed at or following the appraisal interview, counselling discussions with the member of staff may provide a useful forum for discussing what further help may assist their achievement, what problems the member of staff may be encountering in doing so, and any other matters which need to be followed up after the performance appraisal interview (and before the next one is due to take place).

Counselling is an important element in performance appraisal. Wisely used, it can avoid the trap of making performance appraisal appear an annual and rather meaningless ritual which has to be endured to please some higher authority. We suggest therefore that a formal presentation on counselling and on the techniques and skills involved should form part of the performance appraisal training programme and be backed up with a role-playing exercise. In this, the participants would act as counsellors or, having observed an example of counselling in practice (videotaped or live), comment on it in a plenary session.

## 5.8 FEEDBACK

Feedback is a crucial feature of the performance appraisal interview and of counselling, particularly when reviewing past performance. Among other things, it should encompass a discussion of how the member of staff feels about the objectives which were set, whether these have been achieved and, if not, what prevented this. Without the feedback the setting of objectives, and particularly self-set objectives, is unlikely to be of any real value. Ivancevich concludes from a study of the effects of training managers to provide feedback that 'subordinates' appraisal interview reactions were generally better if leaders were trained to provide feedback . . .' (Ivancevich op.cit).

We doubt whether formality should be introduced into the feedback process by, for example, issuing a form to the appraisee containing information under pre-determined headings. Feedback is however, such an important aspect of performance appraisal that the training programme should encompass it,

possibly by using examples of performance appraisal interviews during which questions needing further enquiry have been raised. Performance appraisal interviews are an opportunity for the appraisee to express his/her grievances without having to invoke the formal grievance procedure. Those grievances can sometimes be resolved by the appraiser during the interview, but this will not always be possible. The appraiser must be on the alert for expressions of discontent from appraisees and must be prepared to explore whether these are well founded and — whether or not they are — how they can be resolved. The feedback process is particularly aimed at letting the appraisee know what has been done about the particular point raised in the earlier performance appraisal interview.

Appraisers should not try to brush aside appraisees' expressions of genuine concern about what they regard as inhibitors to improved or even satisfactory performance or to the achievement of previously agreed objectives. By including in the performance appraisal interview an opportunity for those matters to be ventilated and by following it up with genuine feedback, the whole system's credibility is likely to be reinforced.

Feedback is a key part of performance review, both at the annual or cyclical performance appraisal interview and at other times as appropriate. If in the interval between one scheduled performance appraisal interview and another, the appraiser thinks that a staff member's performance is falling well short of the standards discussed at the earlier interview (or conversely that he/she is achieving such high standards that a reinforcing feedback discussion would be useful), feedback can ensure that the staff member knows that his/her efforts, having been discussed at the performance appraisal interview, are being noticed and discussed.

Feedback training cannot expect to encompass all possible areas for feedback discussions in practice. We think that it should nevertheless be included in the training programme, possibly also to cover the identification of grievances and how to resolve them. Examples of feedback in practice can be used as the basis for the session.

## 5.9 THE PROGRAMME

We emphasise that the training programme components identified in this chapter are aimed at training appraisers, probably at head of department and senior levels in colleges. The course content is aimed not only at the practical aspects of performance appraisal, but also at giving appraisers a sufficiently detailed background to enable them to hold appraisal training sessions in their colleges, perhaps for potential appraisers, but more importantly for appraisees.

Some measure of appraisee training is important. Without it apprehension and resistance may be a common reaction to the introduction of performance appraisal but, if the objectives and methods can be authoritatively explained to prospective appraisees, a greater willingness to co-operate should follow.

An outline programme based on the preceding sections of this chapter might be:

| | | |
|---|---|---|
| **Day 1** | Session 1: | Introduction: appreciation of the purposes of performance appraisal/performance review and development (PR&D) |
| | Session 2: | Communication game and discussion |
| | Sessions 3/4: | Preparing for PR&D: introduction followed by pre-assessment form exercise in syndicate groups, and plenary session |
| | Session 5: | Classroom observation: introduction to aims and methodology |
| **Day 2** | Session 1: | Classroom observation: syndicate exercise using videotapes of lessons |
| | Session 2: | Classroom observation: plenary session |
| | Session 3: | PR&D interviewing: introduction to techniques, deciding upon objectives and counselling |
| | Session 4: | Syndicate exercise: agreeing objectives |
| | Session 5: | Syndicate exercise: counselling |
| **Day 3** | Session 1: | Plenary session: objective setting and counselling |
| | Session 2/3: | Interview practice: role playing |
| | Session 4/5: | Interviewing practice: plenary session, with videotape playback and reports |
| **Day 4** | Session 1: | Feedback techniques: introduction to performance analysis and attainment of objectives |
| | Session 2: | Syndicate exercise: feedback techniques |
| | Session 3: | Feedback: plenary session and discussion |
| | Session 4: | Open forum |

### Course evaluation and conclusion

If arranged as a one-week training course, this programme would provide a full week if starting on Monday afternoon, allowing Wednesday evening free, and ending on Friday afternoon.

As will be seen, the outline programme includes practical work in syndicates and in role playing. Videotape playback for use in the plenary sessions would provide valuable support. Allinson, for example, reports that:

> Interviewing is a skill, and the key to skill acquisition is practice with feedback on performance. Role playing apparently offers a most satisfactory method of practice and provides clear opportunities for feedback. The responses of the 'subordinate' in the interview, the latter's comments after the event, and the observations of the tutor and other syndicate members apparently prove invaluable, according to the general comments received . . . Most notable was the frequent reference to the usefulness of the tapes, containing as they did a complete record of the interaction. Trainees mentioned particularly the benefits derived from the videotapes when they had been available. Using these, tutors had been able to draw attention to the previously unconsidered area of 'body language' and demonstrate, for example, how even the interviewer's posture can prove decisive in the achievement of rapport (Allinson op.cit.).

One final point: a one-week training course in performance appraisal should not be regarded as fulfilling training needs for all time. According to Ivancevich, research suggests that any positive impact of formal training may be hard to sustain. He adds, 'Other researchers have determined that a deterioration of training effect occurs across time and that some type of refresher training intervention is needed to sustain improvement' (Ivancevich op.cit.).

A follow-up conference of appraisers at which other ideas can be presented and experience recounted can later provide a stimulus to the interest which the original programme hopefully achieved.

## 5.10 SUMMARY

The training of appraisers and appraisees is essential to the introduction of a staff appraisal system. Seven key areas can be identified as training areas. The first is the need to explain the system and remove doubts and apprehensions about it. The second area, appraisal preparation, again requires the training of appraisers and appraisees. Thirdly, classroom observation skills will need to be developed by appraisers and the elements of the observation process understood by appraisees. The fourth training area, interviewing, is critical to the performance review and development approach to staff appraisal. Training in the fifth area, objective setting, again needs to emphasise the participative nature of this element of the appraisal process. The sixth area, counselling, produces clear

training needs as does the final area, the feedback process. A training programme for appraisers and appraisees is put forward. It seeks to tackle the seven training areas set out above.

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# Conclusions and Recommendations

## 6.1 PERFORMANCE REVIEW AND DEVELOPMENT (PR&D)

An initiative for introducing performance appraisal into colleges of further and higher education comes from governmental pressure. Because Section (49) of the Education (No. 2) Act 1986 is headed 'Appraisal of performance of teachers' we have used the term performance appraisal throughout most of the earlier chapters. Yet in examining its implications for colleges and the principles which might prove most suitable for implementation in colleges, and as anticipated in the Introduction and elsewhere, the reader may find our arguments tending far more towards a performance review and development system. In the context of further and higher education, we agree with Harper when he suggests that:

> To be effective, performance appraisal needs to be considered a top priority, properly planned, carefully administered, and constantly updated and improved to reflect the dynamic environment that influences the organisation and its performance . . .
>
> The PR&D approach is more effective (than traditional performance appraisal) because it recognises that the purpose of a manager is to improve performance, not simply to appraise it. With PR&D, the manager still analyses the employee's past performance, but 'reviews' it rather than 'appraises' it. PR&D is a multi-step process that combines the ideas of management by objectives with training and development. Instead of looking only for ways to set and achieve organisational objectives, PR&D also concentrates on the development of each employee's capabilities, career potential and professional success.
>
> The PR&D approach includes establishing performance goals and standards, monitoring progress, reviewing actual performance, comparing actual performance with the pre-established goals, tying rewards to performance, establishing development plans, and agreeing on future performance goals and standards . . .
>
> PR&D also incorporates the ideas associated with job enrichment. It is based on the premise that, if employees are asked to come up with ways to make their work more fulfilling, they will probably accept the invitation (Harper 1983).

In looking at the options available for college performance appraisal systems

(particularly with regard to the various approaches examined in Chapter 4) it seems almost inescapable that, if some suitable form of performance appraisal is to be adopted by colleges, the only realistic objective is the introduction of PR&D in preference to a more formalised and conventional type of assessment system under which various characteristics of performance would be rated on some quasi-rigid scale. This conclusion is underlined by the Suffolk recommendations (Suffolk County Council, 1985) and the GlosCAT scheme, among others.

It is clearly necessary to summarise the characteristics of PR&D, which are:

(a) its emphasis on providing opportunity and motivation to improve the staff member's performance and to develop his/her capabilities, professional satisfaction and, as far as possible within present constraints, career prospects;

(b) the use of the performance review interview to discuss with the member of staff, and hopefully agree, possible ways to improve performance;

(c) by the use of feedback and related follow-up measures (see Chapter 5, Sections 5.7-8) to make the process a continuing one;

(d) to develop the role of the head of department so that the aim of improving the performance of the members of his/her department becomes accepted as an integral part of the job;

(e) to develop employee confidence with challenging and worthwhile objectives in a satisfying working environment, and a constructive review of success in achieving previously agreed objectives;

(f) to help achieve the performance goals of the college.

As part of the exercise the employee's past performance should be assessed and discussed. Where it is outside the band of reasonable performance standards, counselling and remedial action will be required in all but extreme cases where these have already been tried and have failed. Harper, for example, includes among a PR&D system:

- establishing performance goals;
- comparing actual performance with pre-established goals;
- tying rewards to performance;
- establishing development plans;
- agreeing to future performance goals and standards (Harper op.cit.).

Subject to our reservation in Chapter 4 about standards meaning in practice 'a

band of reasonable standards', a system incorporating those aims, suitably modified, and supported by appropriate records, could prove a sound basis for meeting the requirements of 'appraisal' while, as Harper puts it, 'incorporating the ideas associated with job enrichment'. He adds that PR&D 'is based on the premise that, if employees are asked to come up with ways to make their work more fulfilling, they will probably accept the invitation'.

Harper is echoing McGregor's suggestion in 1957 that the emphasis should be shifted from appraisal to analysis, and with it, as McGregor said, 'the emphasis is on the future rather than the past'. (McGregor 1957, 1972) McGregor envisaged great advantage in departing from conventional ratings-based performance appraisal systems and placing emphasis on self-appraisal when preparing for appraisal interviews. This puts the accent on performance and transforms the 'interview' into 'an examination by superior and subordinate together of the subordinate's self-appraisal', culminating in a resetting of objectives.
McGregor adds:

> Of course, the superior has veto power at each step of this process; in an organisational hierarchy anything else would be unacceptable. However, in practice he rarely needs to exercise it. Most subordinates tend to underestimate both their potentialities and their achievements. Moreover, subordinates normally have an understandable wish to satisfy their boss, and are quite willing to adjust their targets or appraisals if the superior feels they are unrealistic. Actually, a much more common problem is to resist the subordinates' tendency to want the boss to tell them what to write down.

Like Harper, we agree with McGregor's conclusion that:

> The conventional approach to performance appraisal stands condemned as a personnel method. It places the manager in the untenable position of judging the personal worth of his subordinates, and of acting on these judgements. No manager possesses, nor could he acquire, the skill necessary to carry out this responsibility effectively. Few would even be willing to accept it if they were fully aware of the implications involved.
>
> It is this unrecognised aspect of conventional appraisal programmes which produces the widespread uneasiness and even open resistance of management to appraisals and especially to the appraisal interview.
>
> A sounder approach, which places the major responsibility on the subordinate for establishing performance goals and appraising progress toward them, avoids the major weaknesses of the old plan and benefits the organisation by stimulating the development of the subordinate. It is true that more managerial skill and the investment of a considerable amount of time are required, but the greater motivation and the more effective development of subordinates can justify these added costs.

Either PR&D or performance analysis linked to self-appraisal are likely to raise expectations. While people may be prepared to accept as inevitable that promotion opportunities are few, they may be less likely to endorse PR&D (or

any other performance appraisal system) if performance targets are set which *cannot be met because of inadequate resources. It would, for example, defeat any* appraisal system, other than the purely mechanistic, for a goal to be set which proves impossible to achieve because of the lack of resources. The same applies if an appraiser and appraisee agree that some additional and reasonable training would help the appraisee to improve his/her performance, only to find that financial constraints prevent this training from being provided.

Appraisers must therefore be made aware that targets should not be agreed unless adequate resources are available. In cases of doubt, a PR&D interview can be adjourned while the interviewer, presumably the head of department, investigates the provision of appropriate resources. One thing is sure: in agreeing in a PR&D interview the objectives for the next year, the teacher has an opportunity to express a view about under-resourcing, and the head of department has the responsibility to convey that to whatever level is appropriate — whether in the college or the local education authority, or both.

## 6.2 RESPONSE TO UNION OPPOSITION

If resources are at the basis of NATFHE's objection to the introduction of performance appraisal for its members, logic suggests that an effective system would provide a forum for increased pressure for the provision of adequate resources and for the resolution of other individual grievances. Invective of the sort embodied in NATFHE's 1985 conference resolution on performance appraisal is unlikely to achieve progress in that direction.

A fully agreed and implemented PR&D system could provide a platform for genuine pressure on local education authorities for the provision of better resources, and from them through the local authority associations to the DES. Implicit in the Section 49 power is the possibility of the DES requiring annual reports from authorities about the implementation, operation and maintenance of performance appraisal schemes in their schools and colleges. That could provide a golden opportunity for strong and constructive representations about the impediments to achieving performance targets in colleges.

## 6.3 PILOT SCHEMES

However well designed a performance appraisal or PR&D system may be, its introduction into an area of employment or an institution which has not previously experienced any such initiative may well cause misgivings. After starting out by applying the system to those in higher posts, its extension by means of a pilot scheme in a particular department may help to highlight necessary changes and thus enable the scheme to be better tailored to meet the needs of the institution.

If voluntary involvement can initially be achieved, with the scheme being

presented in a positive manner as a supportive process for staff, its wider acceptability should follow, particularly if staff can see that its aim is to help them to improve their performance with the assistance of a caring management and thus to provide a better service for students.

As the scheme would also be a vehicle for identifying staff development needs, its relevance to a more productive use of the staff development budget could also encourage its acceptance.

## 6.4 SUMMARY OF MAIN RECOMMENDATIONS

1 For the education service, as no tailor-made performance appraisal or PR&D scheme exists which could be transplanted, schemes will need to be designed incorporating broadly common principles so that records in one institution will be meaningful if the member of staff transfers to another institution.

2 Subject to the above, schemes should be particular to each college of further and higher education.

3 Among the features which should be common to all schemes for further and higher education staff should be:

- some form of self-appraisal and self-determination of objectives in preparation for the interview;
- focus on results-orientated appraisal through reviews of previously agreed objectives and their attainment (see Section 4.4);
- making and retaining a record of each appraisal or review, preferably on a form of the type suggested in Appendix C and, where possible, after agreement with the member of staff;

4 Training should be provided for all those with responsibility for carrying out assessments, classroom observation, interviews, agreeing objectives and providing feedback, as outlined in Chapter 5 (see also Section 4.2).

5 'Conventional' ratings systems of performance appraisal are unlikely to be appropriate.

6 Positive measures should be adopted to introduce and explain the purposes and potential benefits of an appraisal or PR&D system (see Section 1.5).

7 Senior management should be committed to the scheme and make that clear to all who are likely to be affected by it.

8 The scheme should initially be applied to higher graded staff (e.g. head of department and above in colleges) and, when that has been done, extended as a pilot scheme in a particular department before being applied throughout the institution.

## REFERENCES

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# Section 49
# Education (No. 2) Act 1986

Appraisal of performance of teachers.

(1) The Secretary of State may by regulations make provision requiring local education authorities, or such other persons as may be prescribed, to secure that the performance of teachers to whom the regulations apply —

(a) in discharging their duties; and

(b) in engaging in other activities connected with the establishments at which they are employed;

is regularly appraised in accordance with such requirements as may be prescribed.

(2) The regulations may, in particular, make provision —

(a) requiring the governing bodies of such categories of schools or other establishments as may be prescribed —

(i) to secure, so far as it is reasonably practicable for them to do so that any arrangements made in accordance with the regulations are complied with in relation to their establishments; and

(ii) to provide such assistance to the local education authority as the authority may reasonably require in connection with their obligations under the regulations;

(b) with respect to the disclosure to teachers of the results of appraisals and the provision of opportunities for them to make representations with respect to those results; and

(c) requiring local education authorities to have regard to the results of appraisals in the exercise of such of their functions as may be prescribed.

(3) The regulations may be expressed to apply to any of the following categories of teacher, that is to say teachers employed —

(a) at any school maintained by a local education authority;

(b) at any special school (whether or not so maintained);

(c) at any further education establishment provided by a local education authority;

(d) at any further education establishment designated by regulations made under section 27 of the 1980 Act as an establishment substantially dependent for its maintenance —

(i) on assistance from local education authorities; or

(ii) on grants under section 100(1)(b) of the 1944 Act;

(e) at any school or other establishment which falls within any prescribed class of school, or other establishment, of a kind mentioned in any of paragraphs (a) to (d) above; or

(f) by a local education authority otherwise than at a school or further education establishment.

(4) Before making any regulations under subsection (1) above, the Secretary of State shall consult —

(a) such associations of local authorities, and representatives of teachers, as appear to him to be concerned; and

(b) any other person with whom consultation appears to him to be desirable.

# Gloucestershire College of Arts & Technology (GlosCAT) Staff Review Scheme

The Gloucestershire College of Arts and Technology was created in September 1981 from a merger of four colleges in Gloucester and Cheltenham. It has some 400 full time teaching staff, some 2,500 full time students and some 10,000 part time students undertaking a wide range of courses from GCE/pre-vocational to Honours degree. The senior management team is made up of the principal, vice principal (academic organisation), vice principal (resources management), chief administrative officer and finance officer. The academic structure consists of seven broadly based departments, each containing four or five schools incorporating a number of related courses. As well as this vertical structure there are six programme areas which span all departments, each having responsibility for such cross-college interests as YTS, information technology, library and learning resources and staff development. These horizontal structures are headed by programme area directors who have the status of head of department. A head of department is primarily a resource manager, a head of school is primarily an academic leader and a programme area director is primarily a co-ordinator and curriculum developer.

In June 1985 the academic board agreed the following statement:

> All full time and associate academic staff will undertake an annual review of performance in the light of objectives set a year earlier. This will be a two-way exchange between the head of department and/or school or the appropriate programme area director and the staff member concerned. It will lead to the establishment of objectives for the following year. In the case of heads of department and programme area directors, this review will take place with senior management and will include a consideration of the review of department/programme area staff.
>
> The review is seen as the right of each member of staff and necessary for effective staff and college development.
>
> The aims will normally be achieved through an annual staff review interview which will be based upon a consideration of both personal and college needs, including:
>
> (a) the achievement of previously agreed objectives;
> (b) teaching performance;
> (c) the individual's staff development and its relation to the department;

(d) individual career aspirations;
(e) the development of agreed objectives for the coming year.

The interview will allow discussion of the extent to which both participants have achieved objectives relevant to the college and/or department. A short written statement covering the areas discussed will be made and signed by the participants, each of whom will retain a copy.

Each department and programme area will prepare an annual statement of identifiable individual and 'departmental' staff development needs in line with the college staff development policy. This statement will be passed to the staff development and In-Service Training Unit by 1st October of each year.

A staff review is complementary to an effective course monitoring process. The results of course reviews undertaken by course management committees can inform both the individual and the senior management review.

The purpose of this review is to identify staff potential; to develop this to the advantage of the students, to give staff members a clear picture of their role in their department or programme area and to allow an exchange of views which will mutually benefit the participants and the department/programme/area/college as a whole. It is expected that review interviews will normally take normally place between the head of a department and each head of school and other academic staff with similar responsibilities and that for most staff the review interview will be with their head of school. Staff must, however, agree on this within departments. In the early stages heads of department may wish to be involved in all staff reviews.

In order to implement the system the Staff Development Unit prepared a handbook entitled 'Staff Review Procedures' which gives clear guidelines to those subject to the review and to those undertaking the review. Conducting a staff review interview requires both technique and tact and, to this end, a number of staff development seminars have been held for heads of school and heads of department. Examples of pro formas are provided which those carrying out reviews may use to obtain either separate staff profiles and staff review records or to obtain a combined profile and review. In all cases an agreed record of the interview is a crucial element of the procedure.

The review is carried out at three levels. The review on members of course teams is normally carried out by the head of school in which the course is located and it has to be stressed that at all levels it is essential for the review to be perceived as a two-way interaction which allows an exchange of views of potential benefit to the member of staff, to the department and to the college as a whole.

The second level concerns the review of head of school performance and this takes the form of a review interview between the head of school and the head of department and, ideally, should be complemented by a departmental review undertaken by all heads of school together with the head of department.

The third level concerns the review which takes place between each head of department/programme area director and the senior management team of the college. Again, it is essential that a two-way exchange of perceptions takes place and the senior management team has taken very seriously those points

concerning the management of the college which have emerged from these interviews.

The staff review must be seen as just one element within a general concern for evaluation and monitoring of performance within the college. Complementary to any system which concerns itself with staff management must be a system which concerns itself with course management and, within GlosCAT, all courses at all levels are subject to a rigorous system of course monitoring which incorporates but goes beyond the monitoring which takes place within course management teams in most colleges. Again, staff management and course management systems are both dependent upon the college having developed a general management information system which concerns itself with a whole range of performance indicators and analyses.

While well developed 'systems' are essential in managing a large and complex organisation such as GlosCAT, nevertheless 'people' are more important than 'systems' and it is absolutely essential for a staff review procedure to be perceived by all staff, and particularly by line members, as supportive and non-threatening. Poor classroom performance cannot be ignored and the staff development organisation in GlosCAT is expected to give positive advice and practical help which, in such circumstances, may include the appraisal of teaching performance. The GlosCAT staff review procedure attempts to identify potential, to develop the skills and abilities of staff through a programme of staff development and to allow an exchange of views which might not otherwise take place.

Although the system has operated in some departments since its approval in principle by the academic board in 1982, it has been fully operational for only a short time and will, no doubt, be subject to amendment should weaknesses be revealed.

In recent years colleges — and GlosCAT is no exception — have had to meet new challenges affecting the organisation, the curriculum and teaching methods. Obvious examples include the introduction of YTS, the involvement of MSC in work-related NAFE, the development of pre-vocational initiatives such as CPVE and TVEI, and the influence of the NAB on the AFE sector. Moreover, colleges have had to face far more public scrutiny from the Audit Commission, competition from the private sector, and employers and the general public voicing greater expectations of colleges - including those related to teaching performance. These challenges have had to be met within a climate of severe resource constraint and one effect has been that the relatively easy movement of staff among colleges, which was a usual means of developing a career, has been considerably curtailed.

A staff review system should be perceived as one means of identifying staff needs and realistic career aspirations while offering staff development as a way of both improving individual performance in the light of changing demands and of improving career prospects despite resource constraints.

It must, however, be accepted that monitoring the performance of the college through the three major management systems, including the element of staff

review, is by no means cost free. Since the teaching staff is the most important and expensive item within the budget of any college, it must be potentially cost effective to ensure that everything possible is done to make the most of this asset and to encourage staff to give of their best. This is much more likely to happen if, for example, annual objectives can be agreed, the college can deliver a programme of staff development in relation to individual needs, and if opportunity is provided simply to 'moan, groan and complain' to the head of school/department/senior management team rather than in staff rooms and corridors.

The system which has been adopted by GlosCAT is essentially concerned with an over-all performance review rather than the evaluation of teaching as such. It is hoped that the college will soon be in a position to consider the evaluation of teaching performance not as something imposed from outside, but through a process of self and peer evaluation which meets both the individual responsibility of teachers and the collective responsibility of the college to provide the best possible learning experience for its students.

John Hunter
Vice Principal (Academic Organisation)
Gloucestershire College of Arts and Technology

# The Appraisal Form: An Example

Name:

Grade:

Department:

Main responsibilities:

Courses attended in past year:

Date of meeting for discussion:

| Topics | Remarks |
|---|---|
| (a) **Organisation of subject matter**<br>— self preparation, knowledge of materials, keeping abreast of subject<br>— long-term planning:<br>— syllabus design<br>— sequencing of teaching units<br>— choice of appropriate materials and method<br>— short-term planning, i.e., of single units: lesson, lecture, tutorial<br>— seminar, workshop, project | |
| (b) **Procedures**<br>— class management<br>— presentation, development and consolidation<br>— timing, staging, variety and pace<br>— motivation of students and maintenance of interest<br>— attention to individuals<br>— assessment and monitoring | |

Date of meeting for discussion: *(continued)*

| **Topics** | **Remarks** |
|---|---|
| — setting and correction of assignments<br>— use of teaching aids and materials<br>— liaison with other course teachers and colleagues<br>— contribution to curriculum development<br>— contribution to work of department as a whole<br>— contribution to work of college as a whole<br>— attendance at relevant courses, conferences and seminars | |
| (c) **Personal qualities**<br>— attendance, punctuality and time keeping<br>— voice and diction: audibility and clarity<br>— language: appropriateness to situation<br>— rapport with students: manner in class: counselling, interviewing<br>— involving students in class management<br>— sensitivity to others<br>— attention to administrative requirements<br>— capacity for professional self evaluation and student evaluation | |

(d) **Other matters for discussion** (please specify)

(e) **Agreed objectives for the forthcoming year** (and action plans, if appropriate)

(f) **Comments about the appraisal interview** (to be completed by both appraiser and appraisee if either or both so wish)

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# Appraisal Preparation Form: A Model

**Note**: A meeting with (your head of department) has been arranged for the date shown in Part A below. The main purpose of the meeting will be to discuss your job, your performance, and objectives for the coming year. For the greatest benefit to be derived from this meeting both you and (the head of department) are advised to prepare for the meeting by thinking about the topics listed in Part B of this form and the annexed appraisal form.

(The head of department) will prepare similar forms before the meeting in which he/she will enter his/her preliminary assessment.

You are under no obligation to complete this copy of the form or the annex, but it is likely to be more helpful for you to do so and to take it with you to the meeting so that discussion can focus on any significant points indicated by a comparison of your entries and those of (the head of department).

---

**PART A**

Name:

Grade:

Department:

Main responsibilities:

Courses attended in past year:

Date of meeting for discussion:

---

**PART B**

1 Please list in priority order what you believe are the major tasks in your job.

2 In which areas of your job do you think you have particularly progressed or made a significant contribution to the work of your department during the past year?

3 Do you feel that further guidance, training or experience would help you with your present responsibilities or those already allocated to you for the forthcoming year? If so, please itemise:

4 In order to assist you in your job, what additional things do you think might be done by:

(a) your immediate management

(b) management as a whole

(c) yourself

(d) others?

---

**PART C**

Attached to this form is a blank standard appraisal form which you are invited to use as a self-assessment questionnaire to supplement Part B above. If you so wish you may complete the remarks column and take the form with you to the meeting where (your head of department) will discuss with you some at least of the topics listed and your assessments, and his/her assessments, in respect of them.

As with this preparation form, you are under no obligation to complete the attached form but, if you do, you may prefer to enter comments rather than try to assess yourself by marking against a scale. The object of the meeting is not to grade you under various headings, or over all, but to discuss your performance in an open-ended and constructive way and whether, and if so how, you and (your head of department) can agree about your respective assessments and future objectives.

Some examples of entries which might be included in the remarks column are:

| | |
|---|---|
| High standard | Encountering some difficulty |
| Satisfactory | Only fair |
| Improvement needed | Support needed (explain how) |
| Extraneous problems inhibiting performance (identify them) | Excellent |
| Poor | Serious shortcomings |
| Desire to improve in this regard | Good |
| Very good | Unsatisfactory |
| A weakness | A strength |

These are only examples. You are free to enter whatever descriptions you think appropriate. If more space is needed, please indicate in the remarks column and continue on a separate sheet of paper.

By the end of the meeting (the head of department) will have recorded on a fresh appraisal form brief notes of his/her assessment under the relevant topics and objectives for the coming year. It is hoped that these will be agreed between you.

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# Appraisal Example: Briefing Notes

Appraisal Tape — Interviewer

Head of department of college of further education, in the job for a year. Generally the department has a good reputation, but no new staff for eight years.

You are seeing Neville Anderson, 41, married with two children (Ann 12, Peter 10). General degree graduate, worked his way up to administration manager in a medium-sized food manufacturer by the age of 26 and moved into teaching at age 30. Your perceptions of him are:

> Strengths: Good exam results, internal and external, but in courses where there is a lot of teaching of information but not many skills. Very punctual and reliable time keeper.
>
> Weaknesses: Found a comfortable niche with very little effort required now he is settled into a routine. He is quietly stagnating but keeping within the rules. Avoids stretching situations.

**Appraisal Tape — Interviewee**

You are Neville Anderson, 41, married with two children. A very enthusiastic family man who goes away nearly every weekend caravanning; in fact, weekends are sacrosanct. Graduate — general degree, worked as senior clerk and finally for four years as administration manager in a medium sized food manufacturer's factory. Moved into teaching at the age of 30.

You are very pleased with the way you present information which your students' exam results show you is good.

Time keeping is very important to you, but you like to keep life in compartments. You are not keen on this new fangled 'systems' approach to things — what's important is that you know the facts about the part of the job you're concerned with.

# Role Handout for the Observer

Observer Role

1 The role of observer is crucial to provide an insight into the interview that may not be seen by the participants.

2 Ensure that the room is comfortable for both persons. Place the DO NOT DISTURB notice on the door and retire to a part of the room which allows observation of the interview — in sight of facial expressions, etc. — but also be as invisible as you can.

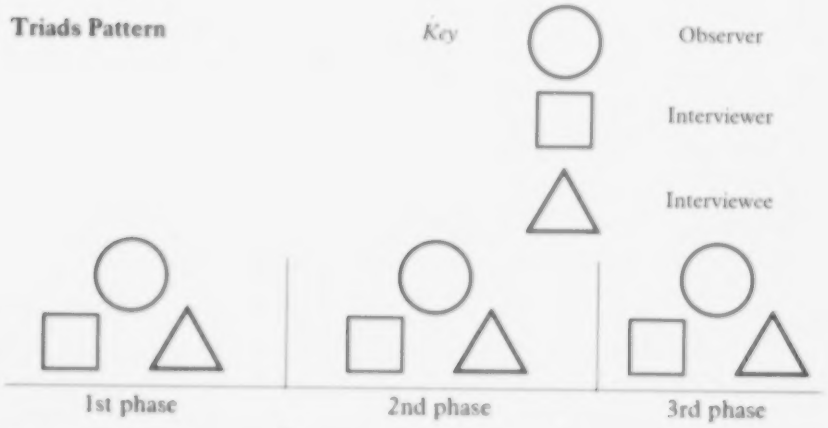
3 Ensure that the interview is concluded within 20 minutes. This is crucial if everybody is to have an opportunity to experience all roles.

4 At the end of the interview remove DO NOT DISTURB notice — this signals that the staff may now visit.

5 In the absence of any staff intervention ensure that after 10 minutes on the questionnaire a discussion takes place as to the way the interview was conducted. The main objective is to help the INTERVIEWER (APPRAISER) — so this must be the main focus.

6 At the conclusion of a 20 minute review (10 minutes on Qs and 10 minutes on discussion) hand over your observer role and undertake the next role.

**Triads Pattern**




A _____ B _____ C _____

Names of Participants



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# Interviewing Checklist

Please observe the course of the interview: consider the interviewer's achievement; rate performance on a scale from 1 (inadequate) to 4 (very good) by entering numbers in appropriate boxes in rating column, with supporting notes in remarks column as appropriate.

| | Rating | Remarks |
|---|---|---|
| 1 BE PREPARED<br>Consider: Undisturbed?<br>Appropriate seating?<br>Relevant documents studied? | | |
| 2 ESTABLISH RIGHT ATMOSPHERE<br>Consider: Was there a proper 'rapport'?<br>How was it established? | | |
| 3 FOLLOW A PATTERN<br>Consider: Was there a 'beginning,' a 'middle' and an 'ending'? | | |
| Beginning<br>A Did the interviewer listen?<br>B What seemed to be his/her objective?<br>C Was it the right one? | | |
| Middle<br>C Did he/she decide areas for investigation.<br>What were they?<br>Did he/she investigate them adequately? | | |
| Ending<br>D How well did he/she help the interviewee summarise? | | |
| 4 ENCOURAGE INTERVIEWEE TO DO THE TALKING<br>Consider: How was interviewee encouraged to talk?<br>Was 'talk/listen' ratio reasonable?<br>Use of 'open' questions?<br>Did interviewer 'reflect' feelings? | | |
| 5 CONCLUDE DECISIVELY<br>Consider: Do both parties now know where they stand?<br>What specifically is each to do?<br>When? | | |

# Guide Sheet for Course Members

In order for the skills development in this area to be practical, a typical appraisal interview should be conducted by all course members. This will be done in triads, each taking turn as an observer, interviewer and interviewee.

In order to provide realistic roles for interviewees (i.e., members of staff) you are all asked to provide a brief pen portrait of a member of staff. This can be based wholly on someone you know, better on a number of characteristics merged from different people.

When undertaking the interviews you will assume the role of the person you write about. The following checklist is a guide to information sought.

1 **School Details**
Location, age range, numbers, special characteristics, length of time head in post.

2 **Individual**
Background, marital status, age, education, years in post.

3 **Job Description**

What post undertaken in school and for how long?

4 Salient points from the past year's performance relevant to appraisal. This should include a mix of favourable and less favourable factors (i.e. those which the head may wish to influence).

---

5 (This is not for sight of interviewer — on a separate sheet please.)

The individual's perception of his/her role, pupils, head, school, etc., including:—

- — Ideals or values
- — Loyalties and prejudices
- — Their own beliefs about themselves
- — What they think others expect of them.